A Handbook of Higher Education Leadership

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Collected Works

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Corvallis, OR

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Leadership Challenges, Opportunities, Lessons Learned

Dr. Ed Ray

Book Introduction

This handbook contains a collection of essays by accomplished leaders in various fields of higher education. These essays reflect their direct advice to aspiring leaders, new and current presidents and chancellors, instructors, and students in courses on leadership. The authors address higher education issues with a view toward the future, drawn from and grounded in their substantial experience and lessons learned. These essays provide leaders and aspiring leaders in higher education with a "how to" handbook for managing many of the problems they must solve now and in the future. The contributing authors have written on topics that I wrestled with throughout my seventeen years as president of Oregon State University and twenty-two years of leadership before that at The Ohio State University. There are no star turns to be found here. No one provides a glossy image of their leadership experience. Their essays provide a candid appraisal of problems solved and unsolved, the lessons they learned in the process, and opportunities for leadership that lie ahead. Each essay is focused on providing perspective and, where possible, substantive advice regarding the topic at hand. While many of the essayists are present or former presidents or chancellors, the essayists also include leaders from areas such as student affairs, finance, and administration, offices of diversity and inclusion, athletics, fundraising, offices of research, and other areas in colleges and universities as well as national higher education associations. The essayists are accomplished experts on the subjects they write about.

Each of the authors has signed on to this project as a labor of love. They are motivated to speak truths to leaders, aspiring leaders, instructors, and students of leadership as a service to those who will follow them into higher education leadership roles in the years ahead.

Given that each topic in this collection is of common concern for many leaders, one could ask why there is a need for a collection of essays like this. For me, the simplest answer is that over my many years of leadership and of dealing with existing and emerging issues within and external to higher education, the demands on leadership are ever increasing, and yet two constants could be observed. College and university leaders rarely obtain practical training to do their jobs effectively, and they almost never ask for help unless their leadership is in jeopardy, which is always too late to do much good.

This collection of essays provides current and aspiring leaders with information and advice on a set of topics that all institutions must address. Each chapter includes recommendations on and insights into how to navigate forward with the subject at hand. One can pick specific chapters to get ideas and advice on how to pursue new initiatives, consolidate successes, manage contemporary and future challenges, and better understand areas of responsibility, such as budgets, safety on campus, faculty development, managing athletics programs, and fundraising. Overall, the book provides a set of readings for courses in higher education leadership. At the same time, instructors and students of

leadership courses who want to understand the opportunities and challenges that successful leaders must address can use these readings as a set of case studies in launching successful ventures and problem-solving that reflect the breadth of issues that leaders in higher education face. Readers can examine the effectiveness of their own leadership models in different circumstances.

This book is an open education resource textbook provided without cost electronically to all users in order to maximize its availability to leaders in higher education and instructors and students in leadership courses. Hard copies are available at duplication costs, which is much less expensive than traditional textbooks.

The book consists of twelve chapters, most of which include two essays. One chapter is written collaboratively by two presidents. Two chapters include three essays for a total of twenty-five essays. Chapter headings reflect the wide range of topics covered. Several examples are: "Selecting and Assessing the Leadership Team," "Budget Policy and Long-term Planning," "Access, Affordability, and Student Success," "Research and Service," "Creating a Safe Community," Fundraising from Soup to Nuts," "Big-Time College Athletics," and "Passing the Baton."

Essays probe the topics they cover more deeply and with specific areas of focus. Examples of essays are: "Budgeting Strategically," "Who's the Boss? Shared Governance and the Future of Higher Education," "Redesigning Higher Education around Student Success," "The Future of Faculty Development and Developing the Faculty of the Future," "Research as an Enterprise," "Institutionalizing Courage to Create a Safer Community," "Big-Time Athletics—The Collegiate Model at Risk," and "To Tell the Truth: Crisis Communication in a Post-Truth Era."

Each chapter begins with a brief overview of common questions and topics for consideration in the leadership area under discussion and provides broad observations and questions specific to the topic at hand that often confront leaders. The questions and concerns posed are ones that every leader and aspiring leader should be thinking about. These observations were shared as prompts for the authors to provide their own perspectives regarding the most compelling questions and concerns to be addressed without expecting authors to exhaust all that can be said in any one volume. While authors are well aware of and address the changing landscape facing leaders in higher education, no one knows what the greatest challenges facing higher education leaders will be five, ten, or twenty years from now.

Each of the twenty-five essays begins with an abstract of the material contained in the essay as a quick guide for readers regarding the relevance of each essay in providing readers with insights for which they may be looking.

Although the essays in a particular chapter may not answer all of the questions raised in the overview provided, those questions can serve to alert the reader to matters to which they should give some thought. I have often told colleagues that it is never a sign of good leadership to startle oneself. Knowing the relevant questions to ask in any given situation can be helpful in framing solutions.

Consider, for example, Chapter 8: "Creating a Safe Community". The overarching statement regarding the topic is as follows:" Over the last decade, a great deal of attention has been focused by institutions and state and federal law enforcement on issues of domestic abuse and sexual violence on campuses. Too often, the focus has been on protecting institutional reputations and whether or not a case can be proven in court. Too little attention has been paid to the needs of survivors. In fact, the term "institutional betrayal" has emerged to describe the situation in which victims get little support from institutions sworn to keep them safe. At the same time, the Civil Rights Commission and

other federal, state, and local authorities have demanded that colleges and universities do more to punish offenders, protect the rights of the accused, and support victims in a timely way. How do colleges and universities wishing to be responsible respond to those demands? Beyond litigation that may succeed or fail, what can institutions do to better serve the needs of victims? How do institutions respond responsibly to external demands to punish offenders, support victims, and respect the rights of the accused?

As is the case throughout our society, students, faculty, and staff experience problems with physical and mental health, drug abuse, and family needs. Best practices for addressing these fundamental personal and family needs should be developed and shared across the academy. What are the most effective programs in academic institutions to address drug abuse and mental health problems among faculty, staff, and students? What are best practices of a college or university that is serious about providing work-life balance for faculty, staff, and students?

Sometimes, the people who are supposed to protect us pose a threat to us. Police brutality on and off campuses is a too common occurrence in our society. Should campuses rely on local police for protection or have their own public safety programs? What is the most effective way to provide a safe living, working, and study environment for the campus community? Should campus police carry guns? Are there effective training programs for campus public safety?

The point in providing an overview of potential questions and concerns to Chapter 8 and each of the other chapters is to highlight issues and raise questions that leaders should already be asking themselves whether they are addressed in the limited space available to our essay writers. Keeping these questions in mind and developing additional questions of their own, leaders can minimize the risk that they will startle themselves when they must confront opportunities and challenges for which they have no clue how to proceed.

The concluding section of the book provides perspective on the extent to which colleagues have covered the topics assigned to them and the areas in which further work seems warranted. This is not a spectator sport. College and university leaders should constantly ask themselves and their leadership teams "what if" questions. The objective is to anticipate potential problems and have a foundation in place for responding quickly and effectively as new challenges emerge.

Let me provide one example. Over the years, I served on boards of national, regional, and state organizations that included presidents and chancellors as members. From time to time, an institution faced serious charges of misconduct in dealing with issues of sexual assault, financial irregularities, or other matters that led to resignations by the leaders, sadness and disappointment by those who served and loved the institution, and horrific pain and suffering by victims who expected better of their institutions. The first few times this happened, I asked my leadership team why this problem had not occurred at our institution, and we did an internal review to confirm that we did not have that specific problem. Finally, it dawned on me that while it is good to do a gut check when there are problems at other campuses, we could not always rely on things going wrong elsewhere before we examined our own policies and practices. As a result, we charged our office of internal auditing to undertake regular comprehensive enterprise-wide audits on a set schedule and to report findings to me and directly to the Board of Trustees. This does not guarantee that we will never have operational problems, but we will not have lingering problems, and we do not have to wait for another institution to fail in a new way in order for us to remain vigilant. This is an example of not startling oneself. Readers are encouraged to send comments and suggestions to the editor for future consideration.

Finally, let me acknowledge those who made this project possible. First, thanks go to Stefanie Buck and her editorial staff at the Oregon State University Office of Open Educational Resources, whose financial support and editorial guidance made this book possible. LeAnn Headrick and Cindy Huddleston provided me with critical staff support, particularly in contacting and onboarding authors for the essays. Students in my public policy course, Leadership Lessons from Higher Education, convinced me that this book is needed. The greatest debt and thanks are for my friends and colleagues who wrote these essays despite extraordinary demands on their time. The essays are a tribute to their wisdom, good sense, and good hearts. Each agreed to prepare an essay as a service to contemporary and future higher education leaders and instructors and students in leadership courses.

I. Setting the Stage

Chapter 1. Learning the Culture and Setting Expectations

Dr. Ed Ray

Chapter Overview

Success for a new leader in any organization depends critically on the degree to which the existing culture of the institution is receptive to new leadership or not and the extent to which a new leader is a good match for the needs of the institution. To the extent possible, a new leader should try to understand the existing overall culture and subcultures of the institution to determine if he or she is a good fit for the community before arriving permanently on campus.

In comprehensive colleges and universities, chancellors and presidents often face very strong subcultures. Division I athletics staff sometimes come and go with no understanding of what the rest of the university is doing or what institutional policies and procedures they are following. Occasionally, medical school and health sciences colleagues have a bit of a Lazarus syndrome and honestly believe the institution would run better if they were in charge of everything. Colleagues in the professional schools and "hard" sciences may operate in a top-down command structure while colleagues in the humanities, arts, and social sciences favor participatory democracy. How does a chancellor or president get these areas to work with the chancellor or president and each other?

Sometimes the match is excellent. The path forward is clear to all concerned, and the new leader must learn the culture and the aspirations of his or her new colleagues to lead effectively. The new leader is in a stewardship role in the near term.

Sometimes a new leader will discover the need to revise plans and change the culture. In both instances, the new leader must assess if she or he is the right person for the job. There are instances in which the board wants quick and decisive action but no controversy. In such circumstances, a new leader has to take the time necessary to develop a viable plan for moving forward and identify allies and obstacles to change. Chapter-specific observations and questions might include the following:

- Riding the wave when continuity is best.

Sometimes staying the course is best for an institution. How does a new leader make the judgment about the need for change and the pace of change?

- Strategic planning and changing the culture.

Sometimes the need for significant change in personnel, practices, and plans is obvious to a new leader, and progress entails changing the culture too. How can one change the culture of an institution and how is the appropriate pace of change determined?

- How does a chancellor or president get subcultures to work together to pursue long-term institutional objectives?

National Association of System Heads' Transformation Agenda

Dr. Nancy Zimpher and Ms. Jessica Todtman, MPA

When the COVID-19 pandemic forced immediate transition to remote learning in early 2020, it prompted public higher education leaders to rapidly respond to emerging needs and to rethink their traditional delivery model, putting the health and safety of their students and communities at the forefront. At the national level, members of the National Association of System Heads (NASH) took time to "get on the balcony" to reimagine the role public higher education systems might play in bolstering our communities and strengthening our country. The pandemic exacerbated issues that became drivers of higher education reform, including limited access to health care for vulnerable populations, the overwhelming effects of systemic injustices, and extreme gaps in economic opportunity. NASH saw that its network of higher education systems could build on a tradition of collaboration to increase equitable student success through a concept called "systemness"—leveraging diverse campus assets within and across systems to create value greater than the sum of its parts. Although most easily applied in a system governance model, the pillars of systemness can be leveraged by any network of institutions seeking to maximize efficiency and effectiveness by marshaling their collective resources. Realizing systemness in any setting requires shifting mind-sets and culture away from competition toward collective impact. Under the banner of its Power of Systems agenda, NASH is advancing prosperity for the nation through three levers of systemness-aligned culture change: (1) Improvement Collaboratives that adapt practices from health care to rapidly prototype solutions to shared problems of practice; (2) a Catalyst Fund that disseminates examples of "positive deviance," where systems are leveraging uncommon but successful behaviors that enable them to find better solutions to a problem despite facing similar challenges and having no more resources or knowledge than their peers; and (3) the Power of Systems imperatives, through which NASH is committed to moving the dial on student completion, upward mobility, and debt reduction by 2030. This chapter includes takeaways for all higher education leaders on how collaboration and continuous improvement can positively affect student outcomes.

The purpose of this volume is to provide direct advice to aspiring higher education leaders. If you have found this handbook, you are undoubtedly familiar with the maxim widely attributed to management consultant Peter Drucker, "Culture eats strategy for breakfast." This means that no matter how thoughtful, thorough, and resourced a plan is, the execution will fail if the implementers don't have shared norms and assumptions to guide their work and ensure fidelity of outcomes. In this essay, we will explore the interplay of culture and strategy at the level of public

higher education systems, which will hopefully provide valuable takeaways for aspiring executives in any role at any level. Throughout, we have interspersed practical and direct tips to support you on your leadership journey.

Adaptive Leadership

As a leader new to an organization, your first job is to listen. Listen to employees, partners, and constituents about what is working and where there are opportunities for improvement. Find ways to bring traditionally marginalized groups into the conversation and build the biggest tent possible, because you only get one chance to make a first impression. Whom you bring to the table to inform your agenda speaks as loudly as whom you exclude.

Through community engagement, you identify specific needs for resources, support, and focused intervention. From feedback and your own experience, you begin to formulate a strategy to address the most pressing issues. More important, you begin to form an understanding of what underpins the organization—its culture.

Tip 1. Beware the office:

When joining a new organization, get out daily. Walk the grounds; stop by other buildings and floors to acquaint yourself with new people and spaces; and pause for coffee breaks. In short order, you'll want to set up a cycle of visitations that allows constituents to see you around and get familiar with your vision and leadership style. And as always, be sure to listen, listen, listen—you have two ears and one mouth for a reason. Remember, people mostly want to know about the terms of engagement under a new leader and understand how they can continue to be successful in a new context.

Culture will necessarily manifest in distinct ways across programs, offices, and teams. Nevertheless, it is observable. You can see it in who attends meetings and who participates and how. You can hear it in the words they use to describe their work and their constituents, or in the silence when you ask an open-ended question intended to solicit new ideas. You can sense it in the level of enthusiasm about the prospect of change. Recognizing these cues and forming an understanding of the existing culture is an integral first step to creating a new *shared* culture and, ultimately, infusing your vision and strategy into every aspect of the organization.

In April 2020, as the COVID-19 pandemic forced an immediate transition to remote learning at college campuses across the nation, it was clear that a lasting change in higher education was on the horizon. Higher education leaders knew that we not only had to navigate through the crisis, but also create a long-term vision of the path forward for higher education in a new reality. At the National Association of System Heads (NASH), we recognized that it was time to "get on the balcony," a metaphor from the scholarship of Ronald Heifetz and his colleagues.

In their leadership treatise, Heifetz and colleagues refer to technical problems, which are complex but solvable through applied expertise, and adaptive problems, which are complex with less obvious and direct solutions. Adaptive problems require organizations to identify what is central to their mission as well as what can be abandoned in order to reallocate resources to support innovation in a dynamic environment (Heifetz et al. 2009). Put simply, pandemic recovery would require higher education leaders to rise above daily crises to understand and address the adaptive problems plaguing the sector.

Adaptive problems require adaptive leaders who are open-minded and empathetic and have the capacity to mobilize people to successfully overcome challenges. Having a shared vision, strategy, and culture in place supports adaptive leadership and means that, when faced with the inevitable emergency, everyone knows what to expect and what's expected of them. No recent challenge has caused as much cross-sector, global disruption as the COVID-19 pandemic. This story follows how the National Association of System Heads partnered with its members to form a shared strategy and culture that would best position them to weather current and future crises. The process used to launch and sustain this effort can be applied to a network of any size, whether as broad as NASH's 50 member systems or as narrow as the colleges and schools within a single university being incentivized and supported to collaborate seamlessly and maximize resources to ensure student success.

Tip 2. Be yourself:

You were hired because decision makers saw something in you that they felt would improve the circumstances of their institution and its constituencies. Be true to their expectations—which you helped establish during the interview process—and develop personal indications that you understand the cultural economies of the place and time; their dreams and aspirations. For example, wearing the school colors is not just for football games; it's purposeful. It's symbolic of your acceptance of the existing culture.

The Power of Systems

The National Association of System Heads represents the interests of the nation's sixty-five systems of public higher education, which collectively educate six million students, including 75 percent of the nation's public four-year college students and 40 percent of community college students. Prior to the COVID-19 pandemic, institutions of higher education were striving to be engines of upward social mobility but struggling to identify which interventions and levers would yield the most positive outcomes. That is why nearly a decade ago, NASH began using a collective impact approach to meet the challenge of expanding equitable access and outcomes. In the social sector, collective impact encourages organizations to boldly pursue what they know works in service of successful outcomes, sharing what they learn along the way. Rather than competing for limited resources and recognition and applying isolated interventions,

a collective impact strategy marshals focus on shared goals and coordinated action to accomplish more together than any one actor could alone.

Advancing collective impact, or indeed any strategy, relies on a foundation of supporting cultural norms. While strategy can be tracked through discrete goals and tangible actions, culture implicitly guides activity through shared assumptions and customs (Groysberg et al. 2018). Culture can position us to solve adaptive problems, as it guides how the individuals within an organization will respond to and overcome challenges.

"Getting on the balcony" in the face of the COVID-19 pandemic led to a realization that many of the adaptive problems facing higher education could be addressed by leveraging the power of public higher education systems. NASH's existing network could build on a tradition of collaboration to not only improve education outcomes, but also expand health care, address systemic racism, and strengthen our economy and communities. By working together, public institutions and systems could re-envision and innovate to achieve their full potential on behalf of the students, communities, and states they serve.

To support our collective impact strategy, we relied on our culture of "systemness." The concept of systemness is that leveraging diverse assets within and across institutions and systems can create value greater than the sum of its parts. That systemness is the fundamental concept that drives NASH's work is as unequivocal as it is surprising, given its origins. The term as it's used in higher education was made up by the team crafting Nancy Zimpher's 2012 "State of the University" address as chancellor of the State University of New York. At the time, it was a clever reference to Stephen Colbert's "truthiness." Little could we have imagined that eight years later systemness would be the clarion call for our sector's pandemic recovery.

Over an eighteen-month period during 2020–21, a group of one hundred system leaders supported by five design teams developed the "Big ReThink" transformation agenda to harness systemness. This inclusive process—through surveys, focus groups, interviews, workshops, literature reviews, and virtual meetings—enabled NASH members to "chart a course for how systems can leverage their power of scale to serve the changing interests of their students and the pressing demands of society" (Martin et al. 2022). The outcome of this tremendous effort was NASH's Power of Systems strategic plan, which is a framework for systems to be more intentional and strategic in leveraging their resources and capabilities to support equitable student success and advance prosperity for the nation.

Tip 3. Be inclusive:

You hold the pen on finalizing your strategic plan, but you must respect the art of getting key voices to articulate a forward vision in their own words. You can select the common themes and best ideas from among feedback and observations, but you must—both in appearance and reality—demonstrate that the path forward was crafted by many.

The Power of Systems includes five "imperatives": learning, equity, talent, investment, and systemness. Each imperative incorporates specific strategies to meet adaptive challenges such as declining enrollment, decreasing state support, racial and socioeconomic gaps in college access and completion, student debt, and inability to meet market demand for a credentialed workforce. The imperatives help guide public higher education leaders in prioritizing and catalyzing their local transformation agendas.

When the Power of Systems debuted at a national conference in December 2021, it received overwhelming support from NASH members, philanthropic partners, and peer beltway organizations, as well as an endorsement from U.S. Secretary of Education Miguel Cardona. NASH had articulated a clear vision for how to efficiently and effectively move the higher education sector forward. With a culture of systemness brewing, it was time to focus on collective impact.

What Gets Measured Gets Done

As previously stated, collective impact demands identifying shared goals and marshaling resources toward proven practices to make progress on those goals. The Power of Systems framework identified three overarching metrics to track the progress of NASH systems toward equitable student success:

- The degree and credential completion metric depends on a modernized completion metric that aims to capture the complexity of student completion patterns across institutions to account for the variability of student enrollment patterns. This includes shorter term credentials such as certificates and certifications as well as traditional associate and baccalaureate degrees.
- The social mobility impact metric aims to capture the impact of public higher education systems on student social mobility, with a focus on underrepresented and low-income students. This metric will track the movement of undergraduate completers between income quintiles based on annual earnings.
- The student loan debt-to-earnings ratio aims to capture the relationship between student debt and the ability to repay based on student earnings. The ratio will track the percentage of graduates with student loan debt in relation to their annual earnings.

NASH convened a Systems Metrics Task Force to finalize the metrics, set benchmarks, and project aggregated 2030 targets for NASH members. The benchmarks and targets were announced in December 2022, with system heads from across the nation standing in support of the three overarching Power of Systems goals.

Tip 4. Process is the new program:

To harness the best thinking of the people around you, create a transparent process that allows stakeholders to articulate their challenges and aspirations, even if it may sometimes seem that they can't see the forest for the trees. You may consider hiring a facilitator, a group processor, to lead the dialogue so you can more neutrally cherry-pick the best of the ideas you've heard at the end of the engagement process.

Our path to national support of these goals is deceivingly simple. During a time of crisis, we took a wide view of our sector's needs, corralled our best thinking to prioritize values, set strategies, and identified goals. What makes this so remarkable is that NASH members' commitment to achieving equitable student success by 2030 is the first national goal-setting for higher education since President Obama's 2009 college completion moon shot. His aspiration was that by 2020, the United States would be the nation with the largest proportion of citizens who are college graduates. As philanthropies and non-profits lined up to support Obama's moon shot and layered on their own attainment goals, degree completion rates in other nations rose at rates nearly double America's (Kelderman 2020). Now, public higher education systems are taking the narrative into their own hands.

Although rare at the national level, benchmarking data and setting targets are frequently undertaken at the institution and state level through performance management and population attainment goals. To seed and sustain progress toward those goals with a systemness mind-set, data must be disaggregated, variables isolated, and interim goals set so that every faculty member, dean, and administrator knows their role and what targets they need to meet at the "local" level to contribute to institution-level progress.

Systemness at Scale

The Power of Systems goals around degree and credential completion, social mobility, and student loan debt are not for NASH to achieve as an organization, but rather for NASH to support our members toward achieving. This is much like our members that have set attainment goals at the system or state level that ultimately their institutions must meet. As we like to say, systems don't educate students, campuses do. NASH provides members with supports geared toward accelerating systemness with a focus on system offices being first of service to their institutions, rather than traditional roles of allocator, compliance officer, or overseer.

Similarly, NASH strives to be of service to our members and give them tools and resources to maximize their collective impact.

Tip 5: Go fish:

Like the adage, "Give a man a fish, feed him for a day. Teach a man to fish, feed him for a lifetime." Organized change must be driven by methodology. At NASH, this methodology is improvement science because it teaches us how to test interventions, study outcomes, and adjust as needed to reach the intended result. Without a proven methodology for change, you may fall victim to solutionitis—acting on hunches unchecked by evidence.

NASH Improvement Communities

NASH began implementing improvement science methodologies in 2022 as a new way to respond to adaptive problems. Previously used in medicine and business, improvement science helps organizations and practitioners identify and analyze the root causes of issues and rapidly prototype possible solutions before scaling.

The framework for NASH Improvement Communities (NICs) consists of three phases of work over a one-year period in a model adapted from the Institute for Healthcare Improvement and the Carnegie Foundation for the Advancement of Teaching. Currently, NASH has three NICs in the areas of transfer, curricular flexibility, and equity, with up to four systems participating in each.

The first phase of a NIC is assessment and preparation, through which system personnel gather data, study a problem of practice, and engage in disciplined inquiry to best understand the issue. The second phase includes workshops and improvement cycles, where system teams implement improvement science strategies to identify an aim statement with measurable goals, explore root causes of the problem, prioritize approaches, identify problem areas, and create action plans for rapid tests of possible solutions to achieve the aim. The third NIC phase is reporting and reflection, when systems analyze their findings to see if the tests of change work and are worthy for adoption or possible adaptation in future work.

Through the NIC model, systems and their member institutions are able to leverage improvement science to identify what works so it can be scaled to provide the maximum benefits to students. Perhaps most important is that the NIC approach encourages participants to "fail before scale." Testing an intervention over a forty-five-day cycle, refining it, and retesting it—tracking and evaluating results throughout—gives participating administrators, faculty, and staff license to think outside of the box where the negative consequences are contained and the positive consequences have the potential for massive reach. While the NIC model currently serves systems, the core concepts of rapid-prototyping solutions and "fail before scale" can be leveraged in any setting to address a stubborn problem of practice. In fact, one of NASH's goals is that the system and campus representatives who participate in NICs will receive certifications and be prepared to lead continuous improvement in any identified area of need.

Tip 6. Disrupt with intention:

Do not push change for change's sake. There is no harm in admitting that something is already working just fine, and there are always opportunities to learn from what has or has not worked in the past to inform your approaches. "That's the way we've always done it" is not a reason to maintain the status quo. However, "Because I said so," is not sufficient reasoning for disruption and certainly won't win you any followers.

NASH Catalyst Fund

The NASH Catalyst Fund encourages sharing promising practices that are leading to equitable student success outcomes scalable to fellow institutions and systems. Its impact is far-reaching, but the concept is simple: through pooled philanthropic support, NASH can recognize and incentivize the development of our members' big ideas that, once proven to work, have the potential to be scaled not only across institutions within a single system but among peers around the country.

The first round of the NASH Catalyst Fund included $275,000 to recognize hot spots of best practices that demonstrate interventions that are already underway and proving to be successful with the potential to have a catalytic impact in meeting NASH's measurable goals. Catalyst Fund awards to date have fallen into three main categories:

- Recognition: NASH invited members to nominate their institutions' successful programs, including proof points, to help us learn about the innovative work being done at campuses that might otherwise never make it beyond campus or state borders. Examples include New Mexico State University's Technology Pathways for Incarcerated Students, which ensures incarcerated students have access to robust educational services that prepare them for both higher education and twenty-first-century jobs.
- Achieving Scale: Some Catalyst Fund proposals were building on a record of success but needed an extra push to support implementation and scale. For example, NASH supported California State University (CSU) in implementing their common system-wide curriculum management system, which will ultimately provide accurate, timely, personalized, and mobile-friendly digital road maps for all students prior to their arrival at CSU campuses.
- Systemness Without Borders: The majority of Catalyst Fund resources in our first round were dedicated to NASH's Refugee Resettlement Initiative, which aims to create welcoming campuses and promote the inclusion of refugees and displaced communities at public higher education systems across the United States. Given that the wraparound services many campuses offer to support first-generation college students are not dissimilar to those needed by refugees, the RRI assists institutions of higher education in creating welcoming communities and promoting inclusivity for refugees. For example, Western Kentucky University's new Resilient

Refugee Program innovatively combines three existing programs to provide displaced students with access to personalized support in navigating the complexities of campus life.

NASH Improvement Communities and the Catalyst Fund are two ways that NASH is delivering on the promise of collective impact and systemness that offer models that could be adapted to many higher education settings. The next section explores how systemness manifests at the institution and system level.

Tip 7. Share the glory:

You can't say "thank you" enough. In a world of scarce resources, public recognition for work well done is free and can pay dividends in staff retention and dedication. In the case of our NASH Catalyst Fund, what we considered a nominal $7,500 award to a campus program was received as if it were $1,000,000 in the positive impact it had on the staff who had been toiling to make a difference for students with minimal support and recognition.

Systemness at the Local Level

Nancy Zimpher's first role leading a system was as chancellor of the State University of New York (SUNY), but it was not her first role within a system. She had previously served as the chancellor of the University of Wisconsin-Milwaukee (UWM), where The Wisconsin Idea was born. Introduced in the mid-nineteenth century when the University of Wisconsin System was founded, it calls for the boundaries of the University—which had its only presence in Madison at the time—were no less than the boundaries of the state.

This commitment of service to the entire state has been retained over time as a true north star of the university system, invoked frequently. As UWM chancellor, Zimpher coined The Milwaukee Idea as the central tenet of how the Milwaukee campus could serve its fellow institutions as well as the state as a whole. It was only natural, then, that her tenure at SUNY would be centered on how the system could positively affect the social and economic future of all the citizens of New York State, nearly all of whom live within thirty miles of one of its institutions.

At SUNY, systemness was Zimpher's theory of action, battle cry, and cultural cornerstone in one. It was apparent in the "Power of SUNY" strategic plan, in legislative requests that put no one institution ahead of others, and in the $100 million investment and performance fund specifically designed to spread and scale what campuses could prove was moving the dial on student success.

Tip 8. Culture trumps strategy:

Recognize the limitations of deeply entrenched resistance to change, especially in an organization fortunate to have many employees with longevity. It's important to remember the "rule of thirds." One-third of the institution was making progress regardless of the leadership, and one-third will not be moved no matter what you do or say. The key is to focus on the middle third, whom you can convince with the right approach and vision—get them on board!

Systemness can have many sources and take many forms:

- Under the leadership of Chancellor Steve Wrigley, the University System of Georgia (USG) launched a comprehensive administrative review (CAR) that challenged every institution to identify savings in administrative costs that could be reinvested in teaching and learning. Through this approach, the USG identified over $100 million in savings and implemented process improvements, supported academic priorities, and doubled down on student access and success. Ultimately, functions such as enrollment management and enterprise resource planning systems were centralized under the University System Office and streamlined to the benefit of all USG institutions and constituents. The inclusive CAR process demonstrated how a top-down edict that allowed institutions ownership over decision-making could create grassroots systemness.
- In Pennsylvania, systemness was a threat and an opportunity. After a state auditor general released a report detailing the dire financial insolvency of one institution, the Board of Regents began a multiphase system redesign to prevent a number of struggling campuses from a fiscal cliff. The redesign ultimately paved the road for university integrations under the stewardship of Chancellor Daniel Greenstein. Greenstein's approach was to challenge everyone to rethink culture toward systemness through (1) engaging in radical transparency about the opportunities and challenges ahead; (2) redefining system leadership by bringing more university leaders to the table and holding each other accountable; (3) reengaging with key stakeholders through transparent sharing of data and frequent public conversations; (4) partnering with the legislature to achieve system reforms that led to increased state funding; (5) reorienting the chancellor's office toward strategy leadership and client service rather than compliance; and (6) demonstrating the power of a "sharing system" through efforts that underscore how the success or distress of one institution affects them all.
- The University of Maine System (UMS) was established in 1968 for the express purpose of creating a cohesive structure for public higher education in the state. When Chancellor Jim Page took the helm in March 2012, he discovered that this vision for a comprehensive system had never been realized. He created shared ownership of systemness by avoiding consultants and instead bringing together internal experts to identify opportunities for collaboration and efficiency, including a unified information technology system and a centralized financial structure. While systemness was present both in the UMS charter and new administrative structure, the crowning achievement was unified accreditation for the system, which allowed institutions to leverage their diverse

strengths to meet accreditation standards as a whole.

A Theory of Leadership

Every individual joining an organization brings to the table their own vision, values, and expectations. When that individual is a new chief executive, it's expected that their vision and values will inform their planning, policy, and practice and—if they're successful in generating buy-in—will ultimately influence the strategy and culture of the entire organization.

Tip 9. Branding matters:

Through the creative genius of communication experts (whether internal or external), publish an engaging and public-friendly plan that speaks directly to vision, action, and accountability. Circulate it widely, in print, online, on attire, on buildings, rendered in neon! With successful socialization of your plan, everyone should be able to say in their own words where we're going, what will change, and the expected benefits.

Over time, place, and various roles at unique institutions, Nancy Zimpher has articulated a personal theory of leadership. In reflecting on her experience as a leader who has mentored dozens of current and future leaders, she has identified five components of a theory of leadership: vision, at the hands of many, action, accountability, and sustainability. The descriptions below provide examples of each of these components as they played out in NASH's Big ReThink.

- *Vision:* Leaders bring with them an aspiration for what their organization can be. NASH's aspiration in the face of the COVID-19 pandemic was to create the conditions that would allow member systems to emerge from the pandemic more resilient.
- *At the hands of many:* Vision alone cannot drive action, especially if that vision rests solely with a leader. To be assimilated across an organization, vision requires collective understanding of how it applies to the organization and its constituents; it also needs to include the feedback and voices of those constituents. At SUNY, Zimpher visited all sixty-four campuses in one hundred days and used hours of documented discussions, formal and informal meetings, and a website comment portal to inform iterations of the strategic plan. NASH echoed this broad and deep engagement—of course virtually—to inform the Big ReThink.
- *Action:* Affecting change demands that a leader articulate how a big idea moves from aspiration to action. For NASH, the five imperatives helped move from ideas to action, scaffolding the path to our desired outcomes.
- *Accountability:* The sooner an organization establishes how progress and success will be measured, the sooner the enterprise can identify what works and shift focus from what doesn't. NASH's metrics identify how we will transparently track progress on our three goals for equitable student success.
- *Sustainability:* Critical to any effort to sustain a collective vision and deliver results is an institutional frame-

work of policies that guide system and campus actions, which can also be achieved through incentives like performance-based funding. For strategy and culture changes to take hold, they must be socialized throughout the organization, reinforced through professional development, upheld by the governing body, and implemented with fidelity. Without sustainability, leaders risk their agenda lasting only as long as their tenure. For NASH, this has involved formal adoption of the Power of Systems agenda by our board of directors, as well as annual "superconvenings," where our members renew their support of this work. Through NASH Improvement Communities and the Catalyst Fund, we reinforce systemness and ensure alignment with our imperatives.

Tip 10. Planned repetition is your friend:

Every speech, every issuance from your office, every welcoming, honoring, awarding, graduating must emanate from the source document. You are pushing the message deep into the woof and warp of the organization and eventually other voices will not only follow but will personally express the vision. That's how they know you have one!

A New Narrative for Higher Education

We have detailed where systemness came from, what it means, how it manifests in different settings, and—we hope—why it is meaningful for the future of public higher education. In a resource-constrained environment where affordability and accessibility are constantly questioned, public higher education systems can demonstrate a positive return on investment by creating efficiencies and leveraging their diverse institutional assets to meet regional and statewide needs. Systems can provide a breadth of service and level of scale that no single institution could rival.

We began this essay focusing on the importance of a shared culture as the foundation for anything a leader can hope to achieve. Whether grounded in systemness, equity, or other values, the fact is that public higher education's boundaries are permeable. We are susceptible to the whims of policymakers and must remain flexible to respond to the demands of our dynamic global economy. Whatever vision, strategy, or culture we create, we are not in a vacuum.

The value of higher education, once taken for granted, is now in question. Tales of millionaire dropouts are paired with dire warnings about student debt. If this debate continues to drive students away from traditional postsecondary education, no amount of systemness will change the tide back in our favor.

NASH is preparing for the first time in its history to launch a marketing campaign targeted at consumers with a simple tagline: College is worth it. We know that college-educated individuals are healthier, more civically engaged, less likely to get involved with the criminal justice system, and more likely to contribute to their communities, among

other virtues. Our sector's challenge—indeed the challenge of all higher education leaders—is to sustain a national culture of college-going so we can continue our important work of creating a more equitable future.

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Playing as a Unit: How to Win by Harnessing the Culture

Dr. Michael Drake

Institutions of higher education are living, breathing organisms; like the many diverse people that make them what they are, universities have nuances and complexities that are essential to understand in order to lead effectively. This means having a thorough, unbiased, unvarnished grasp of institutional history—both ancient and modern. It means building an ever-evolving comprehension of the institution's strengths and weaknesses. It requires developing a strong practice of asking questions and listening. Much like the etymology of the word culture as it relates to cultivating living beings, you can think of your role as a leader, not unlike a physician tending to a patient. Understanding the unique needs of each patient—and knowing how these needs interact—will help inform your decision-making.

With an understanding of the organization's culture and history, you can then choose whether to continue moving in the same direction or chart a new course. Or you might choose a middle ground—in other words, you may find the best course of action is finding balance within the momentum of the institution's existing culture. It may be possible to use your vision and priorities to shift the culture away from identified pitfalls or toward new, productive goals.

Leaders employ either approach most effectively through a clear and deeply held set of values. With a clear vision, a leader can help a university thrive within its authentic culture—letting go of the practices and traditions that no longer serve the whole and embracing those that lift everyone up.

Before you begin the job for which you are reading this handbook, you will have been through years of preparation that began with your own education and continued through positions of ever-increasing responsibility and the hard-won, real-life learning that comes from professional successes and challenges. And now, here you are. You were selected from many qualified and talented people. You have been chosen as the very best match for your institution. You have the raw materials you need to thrive in your leadership position.

But within every institution, you will find an ever-changing and often subtle landscape that you must study. Some of the maps are already drawn; some remain uncharted. Each college or university has its own culture. Part of that culture is clear: It is the overt, advertised, public face of the university—its vibe, or character, or brand. And then there are the multifaceted layers of hidden culture. Over the years, I have watched many skilled colleagues understand and embrace one or the other, but I have also seen some ultimately foiled because they couldn't find a way to balance both.

The lesson here is that it's important to enter your new role with all your knowledge and experience at your disposal—but also with an open mind and a willingness to learn. Over my career, I often reflected back on the book *The Enigma of Arrival* by Nobel laureate V. S. Naipaul. The book's theme is that when we arrive in a new place, we have already thought about what it will be like. Our preconceptions are based on our view of the enterprise from the outside in, and without ourselves as participants. But it is never quite what we envisioned. You cannot really know what the future is until you are there, because the future literally isn't the same without you.

If you do your job right, you will start your tenure with humility and an open mind. You will help your institution cultivate its healthiest cultural aspects, and you will address or eliminate the unhealthy ones. Your presence will make the team stronger. As basketball great and UCLA alumnus Kareem Abdul Jabbar puts it, "You can't win if you don't play as a unit." (Johnson 1984) Getting everyone—within their respective subcultures—to play together in pursuit of shared goals is crucial. And in shaping the institutional culture this way, your leadership will become an indelible part of its winning story.

Find the Strengths, Diagnose the Problems

Institutions of higher education have nuances that are essential to understand in order to lead effectively. This means building an ever-evolving comprehension of the institution's strengths and weaknesses. Much in the same way that the etymology of the word "culture" relates to cultivating living beings, you can think of your role as a leader as similar to a physician tending to a patient. Understanding the unique needs of each patient—and knowing how these needs interact—will help inform your decision-making.

First and foremost, you will need to develop a thorough, unvarnished grasp on institutional history. Get to know the librarians and befriend those who know the most about the institutional histories stored within the collections. Read about the institution, and pore over the student newspaper and alumni publications. And seek out voices that might otherwise go unheard. I remember a piece of advice my father gave me the day I graduated from medical school: "You're just getting started. Make sure you listen to the nurses. They've been at this longer than you have!" That was, of course, overwhelmingly true, and my patients and I benefited greatly from its central wisdom. The essential insights into an institution's cultural strengths and weaknesses are held broadly, with grounds keepers, engineers, administrative assistants, vice chancellors, faculty, students, alumni, and others.

In a similar vein, I have learned not to hold up data as the only or complete way of knowing. Data almost always make up just one, albeit important, part of the full story. Like with many things in life, a central path often works best. Toni Morrison described this brilliantly in her talk, "God's Language":

> We move from data to information to knowledge to wisdom. And separating one from the other, being able to distinguish among and between them, that is, knowing the limitations and the danger of exercising one without the others, while respecting each category of intelligence, is generally what serious education is about. And if we agree that purposeful progression exists, then you will see . . . that it's easy, and it's seductive, to assume that data is really knowledge. Or that information is, indeed, wisdom. Or that knowledge can exist without data. And how easy, and how effortlessly, one can parade and disguise itself as another. And how quickly we can forget that wisdom without knowledge, wisdom without any data, is just a hunch (Morrison 2020).

Leaders must be careful not to confuse data for absolute knowledge, or information for wisdom, particularly when it comes to taking wise action on an institutional element as elusive and nuanced as culture.

No matter how much experience or wisdom you bring, or how much data you have, if you step into a new position and attempt to change course too abruptly, you will encounter resistance. That can be fatal to your objectives, even if you are right about the change. Sure, sometimes you do need to take swift action, and some measure of resistance is inevitable. But you can almost always wait a beat to make the decision the right way. Within a little time, as you listen and observe, as you build trust, you will start to hear and see more clearly and learn what you need to know. Your decisions will be better informed: you will recognize whether you should maintain the existing arc of progress, go further and faster, or whether there are significant impediments to progress that need to be addressed. You must be in your position long enough to understand the culture, because too often it is that culture that is the biggest barrier to progress and success. And to do that, you have to know whom to listen to, and how.

I faced a situation just like this a few months into my time as chancellor of UC Irvine. I arrived as an outsider and was determined to get to know the culture; I met with campus and community leaders repeatedly and began to lay the foundation for trusted relationships. Then, a negative news story about the campus was published in a local newspaper, and not long after, I found myself seated next to a revered member of the faculty at a dinner I attended. I took a chance and told him what I thought about the situation and got his feedback. The data were there—I had the newspaper report—but what I needed to know was how it registered in the soul of the institution. I wasn't just listening to his words, but paying attention to his body language and facial expressions as he told me what he thought. Tapping into his insight and experience was like developing an optic nerve that delivered institutional signals. It helped me connect to the campus history and culture, and I relied on that guidance going forward.

It takes a concerted effort to sift through the steady deluge of information leaders encounter and be able to quiet the noise enough to hear the most important messages. Leadership requires a certain kind of active listening—an added layer of discernment about the information and how it is being filtered. Does the person you are listening to trust you? Have you nurtured an environment where people at all levels feel they can safely speak up? Do those speaking have their own agendas, or are they neutral and trusted voices? The answers to these questions will shape the quality of the information you gather.

Set or Shift

With a solid understanding of the organization's culture and history, you can then choose whether to continue moving in the same direction or chart a new course. Or you might choose a middle ground. It may be possible to use your vision and priorities to shift the culture away from identified pitfalls or toward new, more productive goals.

I had been on the job just three weeks as president of The Ohio State University when it was time to make a big decision. A two-month investigation—launched before my arrival—revealed a deeply problematic hazing culture within the university's marching band. The band dates back to 1878. It is part of a cherished legacy at OSU, a proud tradition whose fans are legion. Its well-deserved nickname is "The Best Damn Band in the Land," and its supporters are enthusiastic—to put it mildly. But the investigation showed that the best of this tradition was being marred by unhealthy customs within the band—an outdated culture that was made worse by an expectation of secrecy and loy-

alty from its members. The hazing included behaviors that were brought to the attention of our Title IX office. The resultant investigation followed federal guidelines. This all occurred two or three years before the #MeToo movement gained momentum in raising awareness of these issues more broadly, but it was already abundantly clear that change was necessary.

To bring the band up to the expectations of Title IX—and, just as importantly, the university's values—it was imperative to shift direction. We communicated in the clearest terms that we would have zero tolerance for a hostile culture in the band or any other area of the university. And we set up a task force with several layers of independent review and rigor: one group conducted an investigatory review, another conducted an independent review of the culture, and outside counsel provided oversight to ensure legal compliance with Title IX.

In this case, it was external culture that posed the greatest barrier to the necessary changes. Many alumni and community members were resistant; I received significant critical feedback for my approach. It would have perhaps been easier to make changes after serving as president for longer than three weeks; but the need for immediate action was compelling, and there simply was not time to roll into it gently. You always hope that you have that leeway, but there are instances when it is just not in the cards.

In most cases, however, you have time to arrive, eyes and ears open, to listen and to learn as much as you can about the internal culture before deciding on changes. There will be time to feel it viscerally. You also know what it looks and feels like from the outside. When it comes to actually initiating change (the slower variety, as opposed to the urgent kind described earlier), the first step is to gain as clear a view as possible of the future you want to achieve. For larger systemic shifts and set points, you want to know where the institution is going and what needs to be accomplished for you to get there. The next step is to build, slowly but steadily, a group of internal supporters you can rally to the cause. These should be respected thought leaders and decision-makers on campus. At the beginning, it's best to keep this to a small number of people. They give you honest feedback; they provide critical insight into what it will be like to make these changes and what headwinds you can expect. To make this work, you must create an environment of openness—where this group trusts you enough to be candid, and where you trust them enough to follow their advice.

Once you've built a support system that will be there even when change is unpopular, you can begin plotting out the necessary steps to move the institution from point A to point B, and then step by step on to the future. My preferred way to do that is through a highly transparent, explicitly stated plan, one that is well-communicated and widely deployed. This was our approach at the University of California in August 2021 when we released our first Community Safety Plan—a transformational shift to a more data-driven, service-oriented, community-centric approach to safety and security across the enterprise. This plan was the culmination of more than a year and a half of robust conversations with students, faculty, staff, alumni, and other UC stakeholders and subject matter experts, with more than 1,500 people weighing in.

It was not easy or simple to build the level of trust we needed—this is a complex and emotional issue for many, and the University of California is a vast, multilayered institution with a strong expectation for community feedback and dialogue. Many different views came into play over the course of these discussions. But we communicated methodically and demonstrated over and over that we were committed to listening to all perspectives. It was a slow, iterative,

thoughtful process, and it laid the foundation for a living document that we will continue to adapt to keep all members of our community safe and truly thriving.

This is the kind of laborious but essential work of culture shift. It requires time and focus, dialogue and feedback, resources and follow-through. It might not create a splash or lend itself to a press release—and it will be criticized at one point or another by all involved for going too far or not far enough. But it has the power to create real and lasting change, guided by your leadership values.

There are also ways in which tapping into authenticity in an institution's culture can be both strategic and transformational. This involves identifying and championing what is naturally good and unique about your institution's culture and harnessing its subcultures to get everyone working together. One example of this comes from my time as chancellor of UC Irvine. When I began my tenure there, a book called *Blue Ocean Strategy* had just been published by business professors W. Chan Kim and Renee Mauborgne. Their premise is based on a study of businesses that created their success by seeking out untapped markets—blue oceans of promise where they could do what they do best instead of being boxed in by competition with rivals.

I found it to be a useful metaphor for higher education as well. At UC Irvine, a relatively young University of California campus, talent-rich and full of possibility, we saw the futility of trying to become a replica of the more established campuses in our region, such as UCLA or the University of Southern California. Instead, we chose to focus on areas where UC Irvine was already excelling: sustainability, diversity, and inclusion. This required communicating to various subcultures how their cooperation and joint focus would help us meet long-term goals and cement UC Irvine as a leader. And it required showing them steady, short-term results.

Envisioning the institution as one that could go its own direction was beneficial in several ways. It enabled us to think big and aim high as a rule; for example, in 2009 we successfully opened the first new public law school in California in forty years, and we quickly watched it surpass expectations as a powerhouse among law schools nationally.

Exactly how we accomplished the launch of the law school is quite a story, one that helps illustrate the power of bringing subcultures—factions, personalities, and competing power structures—together. The various voices and perspectives at play in this case included the UC Board of Regents—initially wary of the idea of a new law school; the UC Academic Senate—which was concerned that a new law school would merely be a training ground for more corporate lawyers; and the California State Legislature, which held mixed opinions on the fiduciary wisdom of the investment. Other key stakeholders included the donor community and the California Postsecondary Education Commission (CPEC)—a body that provided state leaders with analysis and policy advice for more than thirty years before it was disbanded in 2011. This commission had the authority to recommend approval or rejection of new graduate and professional programs, and its members' deliberations signaled that the commission would ardently oppose a law school at UC Irvine. We had our work cut out for us—so we set about to address the concerns of each of these entities.

First, we focused on the incoming chair of the UC Board of Regents, who made clear that he did not think the school had any hope. "There has been talk of starting a law school there for forty years," he told me. "I don't think you're going to get local support. Maybe if you had the support of someone like . . ." and he named a major philanthropist. "Well, it turns out that [the philanthropist in question] has quietly pledged an eight-figure anonymous

gift," I answered. The chair paused, looked at me, and shook my hand. "Well then," he replied, "Congratulations!" We cleared a significant hurdle.

From there, we moved on to the Academic Senate. We needed to demonstrate that the law school was not, in fact, all about producing high-paid corporate lawyers, but rather about bringing top-notch legal scholarship to the campus and producing well-trained lawyers for the rapidly growing surrounding community. It helped that the Academic Senate understood the argument that UC Irvine's cutting-edge scientific research would be more influential if coupled with effective legal and policy solutions. One powerful local example was the experience of UC Irvine's Professor F. Sherwood Rowland—the first to uncover the role of chlorofluorocarbons, or CFCs, in depleting the ozone layer. It took years—and great courage and persistence by Rowland and scientific collaborator Mario Molina (with whom he shared the Nobel Prize)—from the origin of this scientific discovery in the mid-1970s to the 1987 Montreal Protocol, the global agreement to limit the production of ozone-depleting substances. Ultimately, the UC Academic Senate was swayed that a law school at UC Irvine would be beneficial: they agreed that legal and policy expertise was necessary to translate science into solutions.

The Academic Senate endorsed the proposal, and it was sent on to CPEC. There we met active resistance based on the fact that Orange County was well supplied with private practice lawyers. Our evidence supporting the need for first-rate academic lawyers for the campus and well-trained administrative lawyers for the community failed to sway the commission. In our favor was the fact that the commission was *advisory*. We were informed that no program under their jurisdiction had been started without their endorsement in more than thirty years. But there's a first time for everything. After CPEC voted 8–3 against the law school proposal, the UC Board of Regents chose to acknowledge the commission's objections but voted unanimously to move ahead. In the end, the work we did to bring these disparate subcultures together toward a shared ambitious goal paid off.

Breaking or Bridging

As we seek to better understand and harness the cultures of our institutions, it is also critical to take into account the social, political, and economic currents that have driven this period of great transformation and disruption in our nation and world. Legal scholar john a. powell, who leads the Othering & Belonging Institute at UC Berkeley, has written about these forces through the lens of "bridging" and "breaking." He writes that experiencing collective anxiety due to rapid change is a normal biological reaction, but how we respond to that anxiety is a social reaction. We have a choice—whether to view change as a threat or an opportunity. One response represents breaking, the other, bridging (powell n.d.).

We can observe the impacts of breaking on our campuses, particularly where those bent on extreme positions have gravitated to fight the so-called "culture wars." It is important to try not to succumb to anxiety, or to be overly wary of questions and approaches that fall into the category of culture. In the past, higher education leaders may have gotten away with treating issues related to institutional cultures and subcultures as afterthoughts. But these issues now play a significant role in helping our society move toward bridging—building campus climates and communities in which anyone and everyone can feel heard, seen, respected, and included by being exactly who they are. The teach-

ing, research, and public service that flow from healthy campus climates will produce outcomes that better serve all of society.

A great example of this is the Black Thriving Initiative at UC Irvine. This program is shifting the focus of the entire campus onto anti-racist programs and policies that aim to make UC Irvine a campus where Black students, faculty, and staff thrive. The intentional nature of this work is what sets it apart—it is carried through across all levels of the university and offers everyone a way to participate, whether through educational programs, pledges campus community members can sign, efforts to make UC Irvine a top destination for prospective Black students, and faculty cluster hiring to support research that will help us understand and advance well-being in the Black experience. The inclusive excellence that this initiative is cultivating at UC Irvine is a boon to any student, faculty member, staff member, or alumni there, no matter where they come from, no matter their politics, no matter their socioeconomic status or race or ethnicity.

Conclusion

Two days after the UCLA Bruins won the 1967 men's college basketball tournament—their third national championship in four seasons—the NCAA instituted what became known as the "Alcindor Rule" banning the dunk shot in college basketball. Many viewed this sudden prohibition on the slam dunk as a direct attempt to stifle the unstoppable, spectacular talents of sophomore Lew Alcindor—the player now known as Kareem Abdul-Jabbar (Uitti 2023). This knee-jerk response to the changing college game is an example of breaking as opposed to bridging, as described earlier. It became a cultural flashpoint in a season of social unrest as Americans across the nation rioted that summer in angry response to racist policies and social injustice. In addition to UCLA and Abdul-Jabbar dominating the sport that year, the 1967 Winston-Salem State men's basketball team became the first historically Black college and university to win a college division championship (a precursor to NCAA Division II). It is hard not to read this move by the NCAA as an attempt to shut down standout Black players like Abdul-Jabbar; that is certainly how he saw it.

This is a prime example of the role that culture plays in efforts to create more equitable, inclusive, and healthier communities. Setting the tone for a campus that embraces the strengths that each person and subculture brings to the table is a critical component of your job as a higher education leader. I like the way, in a history of the slam dunk, author Gena Caponi-Tabery put it in comparing the essence of the dunk to what composer Olly Wilson calls "the soul focal moment":

> A point of unity between audience and player that occurs when a player—whether musician or athlete—performs what is necessary with exceptional ease, grace, and flair, taking a risk while maintaining control. . . . The soul focal moment is not gratuitous showmanship—its artistry is functional and accomplishes what the moment requires, but with a degree and twist of virtuosity that is unnecessary and unexpected. . . . The soul focal moment is showy, to be sure, but this is not a one-person show. . . . [It] elevates a community, and its master is the ultimate team player.

We all have moments to contribute, and with them, the whole is better than the sum of its parts. We need to find what is standing in the way of everyone playing as a team to make the most of their greatest strengths. With a clear

vision, a leader can help a university thrive within its authentic culture—letting go of the practices and traditions that no longer serve the whole and embracing those that lift everyone up, bridging the way to the future that everyone deserves.

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Chapter 2. Selecting and Assessing the Leadership

Dr. Ed Ray

Chapter Overview

Many leadership models discuss leaders and followers and suggest that leadership is a process by which a leader influences followers to achieve a common goal. Leaders who see their colleagues as followers are not likely to be successful. Effective management of many actions central to the operation of a college or university rely on delegated authority. Consequently, the skills, motivation, and dedication of those with delegated authority and the ability of the leader to match individual talents with organizational needs and to hold individuals accountable for acceptable performance are critical to overall success. It is essential for the leader to assemble the right team.

- Getting the wrong people off the bus.

A common regret of academic leaders is that when they realized they needed to replace members of their leadership team, they acted too slowly. Some leaders ask for the resignation of all direct reports immediately, which suggests that loyalty to the leader is what should be most important to direct reports and that each of them is expendable. Generally, there is no quick answer to identifying the need for staff changes, but decisions require a case-by-case analysis, and changes must be handled with respect and grace. Everyone who remains is watching. What is best practice for making personnel changes?

- Creating a championship team and not just an all-star team.

The team with the best players is not always the best leadership team. How does one create a great team?

Organizing to Lead

Dr. Teresa A. Sullivan

New presidents and chancellors [1] are often quoted the metaphor that recommends that they be certain the right people are in the right seats on the bus. This metaphor takes the bus itself for granted. I advise new executives to ensure that the bus is in good repair with the correct number of seats before filling those seats. Careful review of the organization chart and decisions about desirable spans of control are important in assessing the bus.

Before moving on to select people for the seats, the new executive needs information beyond the organization chart. Institutional memory is an important asset but easy to overlook, and a wise executive taps it. Any specific university is a collection of microcultures. Assessing the right people for those bus seats requires not only learning about current vice presidents and deans and their strengths, but also understanding their networks of microcultures.

Previous experience, while valuable to any new executive, can also form a set of blinders about how a workplace could operate. Both executives appointed from outside the university and those promoted from within have blind spots. The larger the university is, the more likely it is that there are many parts that even the best Dean of X did not know before becoming president.

An ideal leadership team will have the following strengths: good communication up, down, and laterally; a diversity of intellectual backgrounds and views; a balance of institutional tradition and innovation; and confidence that the president is strong enough to hear both good and bad news.

Organizational Context

Modern universities are complicated in much the same way that modern conglomerates are, but universities are organizationally very different, not least because top-down leadership does not work in the university as it might in the corporation or the military. I explained to my governing board that the University of Virginia contained at least five enterprise lines: undergraduate education, graduate-professional education, health care, research, and athletics. Other universities may have simpler organizations; for example, not all universities have hospitals. Nevertheless, most universities are organizationally more complex than their constituencies understand. Most board members are familiar with one or two of these enterprise lines, but not all of them, and unfamiliarity risks overlooking some parts of the institution. Thus, the advice about "getting the right people on the bus" ignores how complicated the bus itself is (Collins 2011). Perhaps the bus needs more seats or fewer seats, or perhaps it needs to be replaced with a regional jet.

A new executive should review the organization chart thoughtfully. One thing to note is the span of control, or the number of direct reports to each executive. New presidents vary in their comfort with a wide span of control. My experience is that former provosts, who have usually had all the deans as direct reports, are comfortable with broad spans of control. While there are advantages to, let us say, having all vice presidents report to the president, there can be practical reasons for developing a narrower span of control. Narrow spans of control, however, lead to a steeper hierarchy with accompanying bureaucratization to provide more coordination. A narrow span of control may also constrict the flow of information to the president.

The most immediate decision for the new president is which officers should be direct presidential reports. This decision is not entirely a matter of presidential discretion. The US Department of Education took the position (since rescinded) that the Title IX Coordinator should report directly to the president (US Department of Education 2011, 3). The NCAA expects the president to have control of the athletics program (NCAA, n.d., Operating Principle 1(2)), and athletic conferences may require similar certification. [2] Such requirements may most easily be met by naming the athletic director a direct report. Having the provost and the chief business officer report to the president is conventional, but there is more variation in the reporting lines for student affairs, diversity/inclusion, research, information technology, human resources, health affairs, communication, buildings and grounds, and other positions.

A second important decision is how many seats on the bus to allocate to any function. Consider the budget. Without question, the president needs control of the finances of the university. Also, without question, the president needs to delegate the day-to-day financial issues to others. Unlike many organizations, the university's revenue sources are not fungible. The endowment principal cannot be spent to reduce tuition—at least, not without legal repercussions and donor anger. Federal research dollars cannot maintain athletic facilities. In public universities, state laws limit how appropriated funds may be spent. In many organizations, all dollars are green; in the university, by contrast, the dollars come in different colors depending on source and regulatory restrictions (Massy 2016, 29–33).

Finance is a function that might require multiple seats on the bus. Finance is not simply a matter of resource allocation. Accounting, purchasing, construction, insurance, taxation, investment, regulatory reporting, fringe benefits, fund-raising, and a host of subfunctions directly involve the finance officer. At the University of Michigan, the vice president and chief financial officer had sweeping responsibilities, but as provost I was the chief budget officer. This separation reinforced the academic priorities in the budget. At the University of Virginia, there has long been a position for a chief operating officer (COO), but also for vice presidents in finance, facilities, and human resources who report to the COO. Realistically, because every executive officer has budgetary responsibility, every officer is at least indirectly involved in the finance function.

New presidents should consider the functional needs of the university and whether key roles are missing. Sometimes administrative positions have remained unchanged for years, and now new areas need executive attention. Having a vice president for information technology was once unusual, but today the chief information officer is necessary.

If adjustment is needed, the new president can create positions or adjust the portfolios of existing positions. Creating more seats on the bus is unpopular. I was advised not to create any new vice presidencies. Critics label new vice presidents as administrative bloat and complain about high salaries and corporatization. The more unilateral the decision is, the more likely it is that there will be backlash. I found an alternative approach in enlarging the span of control of

some of the seats on the bus for a trial period. Examining each portfolio also allowed me to iron out some redundancies.

The Executive's Own Background

The governing board examines the backgrounds of the potential presidents and picks someone with a suitable background—suitability being a function perhaps of career accomplishment, previous experience, alumni networks, or political acceptability. To constituents within the university, however, the two most important aspects of the presidential background are *discipline* and *last position held*.

As much as commenters speak of *the* culture of a university, in fact universities are made up of a congeries of *microcultures*. The work life of research physicists may have little in common with that of accountants in the research office, and physicians in clinical practice experience the university quite differently from the way the English professors experience it. Every internal stakeholder, whether administrator, faculty, staff, or student, has experienced the institution differently in terms of daily work tasks, resources, and colleagues. Significant diversity within the institution arises from different worldviews and practices of the disciplines.

Wise presidents seek out team members whose backgrounds and networks are different from their own. Research indicates that more diverse teams make better decisions (Page 2008). Demographic diversity is certainly an important consideration, but there are other aspects of diversity to consider too. I am a social scientist and I benefited greatly from having provosts who came from chemistry in one case and engineering in another.

It is dangerously short-sighted to assume that the entire university is just like the microcultures the president already knows. Moreover, because the president's own microcultures are a comfort zone, it is a great temptation to pick team members from the same microculture. This similarity creates a comfortable team but builds in blind spots. Just as the university that taught only one subject would not be worthy of the name, a leadership team that is an intellectual monoculture will be seriously limited. Not only does a diverse team make better decisions, but it also signals to the campus that different views are being heard.

The second issue is whether the new president is an insider or an outsider. Outsider Presidents can come from a variety of backgrounds, including business, government, the military, and other educational institutions. For a honeymoon period of variable length, Outsider Presidents may benefit from a perception of their strengths without a matching perception of their weaknesses. Insider Presidents have been working inside the institutions they are now called to lead. Their familiarity with the institution is valuable, but the institution's familiarity with them means that both their strengths and weaknesses are known. On the one hand, insiders often begin with knowledge of the institution's needs and priorities, a decided advantage. On the other hand, Insider Presidents may assume that that they know "all about" the institution, and just like the assumption that all university microcultures are the same, the assumption that one "knows" the university is misleading. Even lifelong members of a university community will find that within its complexities there are many new things left to discover.

The Outsider President has the opposite problem: how to learn about an institution while trying to lead it. A true advantage of the Outsider President is knowledge of how things may be done differently based on previous postings.

(A temptation to *avoid* is talking out loud about the previous institution or comparing the two institutions.) Outsider Presidents need a plan for learning about their new institution, and they need to be proactive and inclusive in their search for information. Many people who want to brief the new president have an agenda or an axe to grind. An important rule for new administrators, especially those coming from outside the institution, is to remember that there are multiple sides to every issue.

Choosing New Team Members

Assembling a new team does not imply that every team member must be new. Every new president needs to complete an in-depth, individual interview with each member of the current leadership team. One of the worst mistakes I have seen a new president make is to ask for the resignations of the entire team on Day One. This decision created fear and resistance throughout the institution. This president's tenure was less than two years. The message of disdain he communicated for the previous team unified the campus against him. He was judged unfair for denying the previous officers so much as an interview.

Too much institutional memory is embedded in the current team to discard without an effort to learn it. Some important issues for questions are the usual SWOT matters (strengths, weaknesses, opportunities, threats). Recent turnover, internal and external conflicts, and new regulatory matters are fruitful areas of conversation. This conversation also gives the new president an opportunity to assess the incumbent's fit into the new team, and to schedule a dignified transition if a change is needed. Sometimes this conversation reveals that the incumbent wants to leave and has postponed retirement until the new president arrived.

Active listening is the best tool the new president has in these initial conversations. The existing team will do their best to learn the new president's agenda, while the new president is trying to learn the current state of the institution. Listening carefully, volunteering little, and asking questions are important tactics. One result of these interviews should be that the new president starts to hear the same issues from different people. While this repetition might be a bit boring, it is also reassuring: it shows consensus among multiple executives about important issues.

One exception to this practice occurs if a crisis has led to the new presidency. The news media might make clear what the crisis is; perhaps some current executives are centrally implicated in a scandal. The governing board might even suggest that the new president replace certain team members. The reality of the situation is nearly always more complicated than the narratives the new president will hear at first. I advise consulting the General Counsel before acting, because even at-will employees could have due process rights. Talk to the other team members first; then make a reasoned decision about how to consult with the team members embroiled in the crisis. Keep in mind the advice to hear multiple sides of a story, because the news media can miss some key facts and get others wrong. New presidents want to avoid hasty judgment. In the end, although the board may offer advice, the choice of the leadership team should be the president's (MacTaggart 2011, 45).

Outsider Presidents are often permitted by the governing board to bring key team members with them from their previous postings. While bringing a ready-made team is comfortable for the new president, it also multiplies the number of leaders who do not understand the new institution, and it may signal mistrust of the new community. The worst result is creating a crony echo chamber, in which partial information is repeated to create a false reality. One

seasoned and successful president once told me, "If you want a friend, get a dog." Presidential comfort should always be a secondary consideration to doing the job well.

Another disadvantage is that crony appointments usually sidestep established search procedures. Most institutions expect open searches for executive vacancies. This expectation for a search may be formalized in bylaws or an administrative handbook. Avoiding this opportunity for shared governance can be misconstrued as a distaste for transparency.

However, a relevant issue is the institution's bandwidth for multiple formal searches atop the existing workload. The governing board should know the schedule for searches, especially if they must be spaced out over several semesters. Although the appointment of the team is the president's prerogative, the board should know the general plan for reorganization and recruitment, and in some universities the board must ratify selections for certain positions. Remember that the board receives information, some of it spurious, from many sources, and they need to know from the president what to believe.

Because of the centrality of the academic portfolio to the mission, a decision about the provost is one of the first the president should make. The new president has several options, including confirming the incumbent, confirming the incumbent for a limited period to conduct a search, or appointing an interim while conducting a search. The second position to appoint or confirm will likely be the chief financial or business officer. Wide consultation, even informally, is helpful both in making a good decision and in setting a pattern of consultation. Even if the team selection process takes several years, the new president needs to keep working to get the best team possible (Flawn 1990, 30).

The Channels of Communication

Good university executives need to communicate in three directions: up to their supervisor; laterally with one another; and down to subordinates. A good president not only cultivates these communication channels for others, the president also is a model of good communication. Managing up for the president means keeping the board, its executive committee, and/or the system office apprised of campus developments. Managing laterally is most likely to be important if the university is part of a system and collaboration with other presidents is expected. Managing down is the information, support, and evaluation the president gives to direct reports.

It is fun to communicate good news, but it is more important to communicate upward any actual or potential bad news. Failure to transmit negative information is the most common mistake in managing up, nearly always with poor results. It is a bad day when board members hear on television or read a tweet about a negative event for which they were unprepared. One seasoned president who had filled several presidencies told me he accomplished communication with a weekly letter to the entire board in which possible bad news could be previewed. (One word of warning: depending on the state's open records laws, in public universities this letter might become available to the public. This becomes problematic if personnel matters or other sensitive topics need to be communicated.)

A common communication pattern is that vice presidents hold staff meetings on Monday mornings. Then on Tuesday mornings the president's cabinet meets. This pattern can be effective in ensuring that issues are elevated to appropriate levels of oversight. The Monday staff meetings allow vice presidents to practice upward, lateral, and downward communication. This advantage is lost if the presider at staff meetings, whether the vice president or the president,

creates a one-way lecture with others' participation limited to questions. One-way staff meetings are demoralizing and a waste of time. The content of the monologue could have been delivered in an email; meantime, important institutional issues go unaddressed. Occasional anonymous evaluations of staff meetings can help presidents and their teams avoid this trap.

Two practices can alleviate the one-way communication problem: joint agenda setting and the round robin. In joint agenda setting, any member of the team can place an item on the agenda and then prepare to speak on it. The ensuing conversation should emphasize problem-solving, not blaming. The president must frequently reinforce that there is no punishment for bringing bad news. I candidly told my team that I would not punish the messenger who brought bad news. Neither the board members nor the president wants to read the bad news for the first time in the media.

The round-robin encourages lateral communication. All the team members are asked for a brief report on their portfolios, with a focus on problematic or cross-cutting issues. To take an example, the government relations executive is likely to have information valuable for every portfolio. Mary Sue Coleman, while president at the University of Michigan, introduced me to the helpful practice of the dance card. The dance card was a ten-minute break in the middle of the meeting when the team members in twos or threes could address brief issues with one another. By eliminating the need for later phone calls or email, the dance card saved time and kept the team members in touch with one another. Vice presidents soon learned to make appointments with each other for a few minutes—hence the term "dance card."

Lateral communication among the vice presidents is important and might run against ingrained practices of jockeying for favor or guarding one's turf. These practices waste time and energy and should not be rewarded. I knew a president who as a leadership technique set his vice presidents against one another. He believed that this practice made him seem to be a stronger leader and gave him more power. Ultimately the internal warfare and chaos drew the attention of the board and led to his firing.

A president who has selected strong individuals from diverse backgrounds is bound to encounter some conflict among the meeting attendees. Very secure subordinates may even challenge the president's assumptions or plans. Sorting out the conflict can be productive for the institution, and addressing the disagreements directly is better than letting the conflict fester. Ultimately, disagreements about initiatives allow the president to assess multiple views and make better decisions. Abraham Lincoln's courage in assembling a cabinet of "rivals" was seen in hindsight as a strength, although at the time it was no doubt uncomfortable (Goodwin 2016).

Although the staff meeting is important for the president's downward management, it does not substitute for regular one-to-one meetings with the direct reports, each of whom needs some face time with the president. These meetings can be an occasion to address any conflicts within the team. Presidents who prefer to talk only with a tight kitchen cabinet of just a few people will frustrate their direct reports and make it harder to align the university to the president's priorities.

The vice presidents and other direct reports must also communicate the institution's priorities and initiatives to their own direct reports. This downward communication is a little more difficult for the president to judge, but it is important to make it a topic for the annual assessment of the direct reports.

Team Assessment

Assessing the leadership team is necessary for best performance. I followed a three-step procedure annually with each direct report. First, each of them wrote a report about their major goals in the past year, their successes and challenges, and proposed goals for the following year. If the vice presidents are staffing certain board committees, getting feedback from board members is a helpful part of the assessment process.

Second, I met with each one, sometimes requesting revisions and asking questions about issues in their teams. Third, I wrote a detailed evaluation letter—usually long on praise and sparing in criticism—as a clear signal for the vice president, a justification for any salary adjustment, and a written record of the encounter. These assessments are onerous, and there is never a good time in the academic calendar to complete them. Nevertheless, it is important (and often gratifying) for the vice president, and it is a good learning experience for the president.

Occasionally, a direct report is simply not functioning well in the role. A frank conversation about perceived shortcomings is unpleasant, but it is important to do before issues accumulate and morale sinks within the person's portfolio. There are alternative ways to handle poor performance: creating a performance plan with benchmarks for improvement, providing additional support, or creating a glide path to a different role (or no role) in the university. The human relations department probably has an experienced practitioner who can provide advice, but the president needs to have the conversation in person with the direct report.

There are different schools of thought on whether the leadership team members should be appointed for set terms. A term appointment—say for five years—does not change the at-will status of the vice president, but it does provide reasonable time frames for more detailed assessments. Many universities have 360-degree assessments before the reappointment decision is made; this assessment, often conducted by an outside consultant, collects confidential information from all the constituencies that deal with the vice president. I found these assessments to be most valuable if the vice president is debriefed about the results.

Conclusion

Before the president can lead the university, the president must lead a team. Modern universities are too complex for direct presidential control of their many functions; delegation to trusted subordinates is the most feasible alternative. With a strong leadership team, the president will stay well informed but will have the time to focus on the institution's chief priorities. It is both a privilege and a heavy responsibility to pick and support a talented team. There are days when their enthusiasm, good ideas, and success may even feel threatening.

However, the president who always must be the smartest person in the room has picked the wrong team and will eventually find that the room has become very small indeed.

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Notes

1. In this essay, I use the term "president" to refer to the chief executive of a higher education institution, even though this person may carry the title of Chancellor, Superintendent, or something else. Similarly, I use the term university even though some institutions might call themselves a college or school. I use the term board to refer to the governing board whose members might be called trustees, regents, governors, visitors, curators, or something else.
2. For an example, see University of Virginia Board of Visitors, Minutes for September 23–24, 2021, https://bov.virginia.edu/system/files/public/minutes/%2721%20SEP%2024%20FULL%20BOARD%20MINUTES.pdf, 85. Retrieved May 25, 2023.

Building the Leadership Team

Dr. Brit Kirwan

As Jim Collins has so astutely observed, "getting the right people in the right seats on the 'bus' you'll be driving and the wrong people off the bus" is an essential step of effective CEO leadership. Unfortunately, for most presidents, this is an extremely challenging task.

This essay will look at the challenges and dynamics in responding to Jim Collins' proposition. Topics to be included:

- Identifying and recruiting the right talent to the leadership members
- Building a mutually supportive and collaborative team
- Developing a leadership agenda
- Assessing team members and providing constructive feedback
- How to know when to invite someone off the bus and how to go about it

In most cases, a president inherits an unknown leadership group. An immediate challenge for such a new president is to begin assessing these individuals for their fit on the leadership team. The essay will discuss the strategies and timing for making these assessments. When a president is recruited from within, the challenges are even greater because the judgements are being made about individuals with whom personal relationships already exist.

I will draw upon 27 years of experience building and leading administrative teams and observing other leaders grapple with these issues to provide the best guidance I can to aspiring and new presidents. This guidance will make concrete examples of successful efforts, as well as missteps I and other presidents have made with this essential responsibility.

In his book, *Good to Great,* Jim Collins (2001) has the following prescient passage:

> Most people assume that great bus drivers (read: business leaders) immediately start the journey by announcing to the people on the bus where they're going—by setting a new direction or by articulating a fresh corporate vision. In fact, leaders of companies that go from good to great start not with "where" but with "who." They start by getting the right people on the bus, the wrong people off the bus, and the right people in the right seats. And they stick with that discipline—first the people, then the direction.

Although the reference here is to corporations, the principle applies equally well to universities. Indeed, getting the right people in the right seats on the "bus" you'll be driving as a president and the wrong people off the bus is a *sine qua non* of effective presidential leadership.

This essay examines the challenges and dynamics in responding to Jim Collins's proposition. Topics to be addressed include:

- Identifying and recruiting the right talent to the leadership team;
- Building a unified and collaborative team;
- Developing a leadership agenda;
- Constructive assessment of team members; and
- Knowing when to invite someone off the bus and how to go about it.

Identifying and Recruiting the Right Talent to the Leadership Team

Creating the right leadership team is a radically different proposition, depending on whether a president is selected as an internal or external candidate. I have experienced both. I became president of the University of Maryland in 1988 after serving twenty-four years as a faculty member, four years as department chair, and seven years as provost. Over these years, I had served on numerous university-wide committees and the Campus Senate, and I had been a regular participant in university events. My knowledge of the campus and its culture and my acquaintance with people at all levels of the institution were extensive. Moreover, I had worked closely with the departing president's leadership team members for several years. When I assumed the presidency, I had a good sense of the team members who shared my vision and aspirations for the university and those who did not. This made the decision of who should continue on my leadership team relatively straightforward. The task of recruiting the right people for the other seats on the bus remained, and I'll turn to that topic later in the essay.

I left the University of Maryland in 1998 to become president of the Ohio State University, where I knew almost no one and only had a superficial sense of the campus and the Columbus, Ohio, culture. I was immediately inundated with advice from people on campus and in the community about what was right and wrong with the university and its present leadership team. I vividly recall an unsettling feeling I had not previously experienced in my professional life; whose advice can I trust? This is a reality virtually every new externally recruited president will experience. How can it best be addressed? First, any new president should heed Aaron Burr's advice to Alexander Hamilton in *Hamilton,* "talk less and listen more." New presidents can feel pressure to move quickly and demonstrate their decisiveness. This should be avoided. Presidents are better served by taking a period of six months or so to get to know the campus, its culture, and its community before making any major decisions, including personnel decisions.

A second strategy that worked well for me when I became president of Ohio State is worth considering. I invited Frank Rhodes, recently retired as president of Cornell University and a widely admired and respected academic leader, to spend several weeks on the campus conducting confidential interviews with campus and community leaders, faculty, staff, and students. Interviewees were asked what they would like the new president to know about the university, its strengths and weaknesses, issues that needed immediate attention, the administration's effectiveness, and their hopes and dreams for the institution. Frank delivered a thirty-page report that became an indispensable guide for me. It greatly accelerated my induction into the campus and the Columbus community and helped shape my views on the skills I would need for the team joining me on the bus I would be driving.

Putting a team together will almost surely require national searches for the needed talent. It is common practice these days to use an institution-based search committee. Obviously, search committee members should reflect the diversity of the institution and community served, but it's important that the committee not be drawn solely from the division the person being recruited will lead. In fact, I always tried to select a chair of the committee from another division, for example, the provost or another respected academic in the search for the chief financial officer or the vice-president for student affairs in the search for the vice-president for communications. This ensures that the perspectives of the broader campus community will be reflected in the search process.

Although I am not a fan of search consultants, they have become commonplace today. Among my concerns is the overreliance on consultants to develop the candidate pool and conduct the reference checks. Although the president needs to be careful about directly suggesting names for consideration (to avoid an appearance of bias in the search), the search committee should be expected to do so.

The president should play a primary role in checking references for the final candidates. Several guiding principles are important in carrying out this responsibility, some of which I learned through my mistakes. First, it is important to speak both to people the candidate reported to *and* some who reported to the candidate. During one of my presidencies, I failed to do the latter in a critical search and soon paid the price for this oversight. A second principle I always tried to follow when a candidate has served more than one institution is including reference checks from his or her former employer. Current employers can have conflicts of interest, both in terms of wanting to see the candidate stay or leave, which can color the accuracy of their comments.

The care taken in selecting the right candidate to join the leadership team cannot be overstated. From personal experience, the wrong choice takes a heavy toll on the leadership agenda.

Building a Unified Team

Once the team is in place, it's time to start driving the bus. But where to? Done well, a strategic plan serves as the best road map to that destination. But "done well" is the key. A plan full of platitudes signifying nothing and not connected to resource allocations is worse than useless. It is a waste of precious time. Unfortunately, too many of the institutional strategic plans I have read over the years are of this ilk. However, a plan grounded in the institution's values with clear priorities identified through an inclusive and rigorous process and tied to annual budget allocations is invaluable. In fact, it is the surest way an institution can make measurable gains in its quality and impact.

Thus, under the president's direction, the leadership team's central focus should be developing and implementing a comprehensive institutional strategic plan. The effort in creating the plan can also serve to build a unified and collaborative leadership team. This conclusion was driven home to me by my experiences at Ohio State.

Thanks in part to what I learned and acted upon from the Frank Rhodes's report, I had my leadership team in place before the first anniversary of my presidency. The report clarified for me that this large and sprawling university, with branch campuses and physical locations in every Ohio county, was trying to be everything for everybody. The problem was that it didn't have the resources for such a grand mission. No university does. If the university was to increase its quality and impact on the state, it needed greater focus. My team and I set about overseeing the development of

a strategic plan to do precisely that. We did all the standard things, conducted a SWOT analysis, sent out surveys, appointed priority-setting committees, sought broad input, had a diverse writing team, and made a stab at producing a draft plan. When it was circulated for comment, it got decidedly mixed reviews. It was seen as too general, full of platitudes, and not requiring any meaningful actions. Back to the drawing board we went to produce a second draft and then a third draft, both of which got similar reviews. A sense of malaise fell over the team. We seemed stuck in a version of the classic movie *Groundhog Day*. Then one day, the vice-president for communications came into my office and said, "Brit, there is a Stanford management scholar named Jim Collins who is writing a book titled *Good to Great.* He seems to have keen insights into quality enhancement and strategic thinking. Maybe we could get him to consult with us on our plan." Desperate to get us moving forward, I said, "OK, see if we can get him on the phone." Sure enough, we did. I told him what we were trying to do, where we were with the effort. Then I asked if he could be a consultant for us. I'll never forget his response. He laughed and said, "Out of the question for two reasons: I'm too busy writing my next book, and you can't afford me." But then he said, "I'm impressed with what you're trying to do, so if you bring your team to Aspen where I live, I'll give you two days of consultation pro bono." Now that's an offer no president could refuse. So, my team and I flew to Aspen and came to our first session with Jim Collins full of anticipation. As we settled in, his first question to us was, "What are your university's values?" There was a long and pregnant pause. Finally, a few of us offered a few values, but it was clear that, as a group, we had never discussed and agreed upon a set of institutional values. After a few awkward moments, Jim said, "OK folks, we have lots of work to do. Let's get started." For the rest of the day and the next, we engaged in deep and meaningful discussions, developing a shared sense of values and vision for the institution. We agreed upon a structure for our strategic plan with clear priorities and a process for tying those to budget allocations.

We left for Aspen as a group of well-intended, dedicated individuals with no real sense of shared vision. We returned exhilarated as a unified team grounded in a shared sense of values, purpose, and vision for Ohio State's future. In short order, a new version of our strategic plan was produced with rave reviews from the campus and external communities. The plan became the blueprint for the institution's progress during my tenure, and its impact on the university is evident to this day. The leadership team found the experience so meaningful for our work together that we set aside time each year to go off on a retreat and have a candid discussion assessing our performance, the status of the strategic plan implementation, mid-course adjustments we needed to make in it, and how we could perform better collectively.

This experience taught me that building a unified, engaged, and dedicated leadership team takes significant effort, intentional planning, and concentrated time together in meaningful conversations about the institution's purpose, shortcomings, and successes, and future directions. This doesn't require the serendipitous good fortune of a session with Jim Collins. Every campus has, or can easily find, individuals capable of facilitating the kind of foundational discussion Jim Collins led for us. Such sessions are the most effective and efficient way for a president to build the leadership team's unity, cohesion, and sense of purpose.

Creating a Leadership Agenda

The leadership agenda must, of course, be inextricably tied to the institution's strategic plan. If the community senses that the president has an agenda separate from the institutional plan, both will fail. The leadership agenda should be developed as part of the planning process involving the institution's and the larger community's multiple stakehold-

ers. It requires carefully analyzing the institution's strengths and weaknesses, the university's needs and those of the community it serves, and the areas where it can have the greatest impact. The first strategic plan I was responsible for at the University of Maryland, some thirty years ago, was developed using many of these elements, but it had a major defect, which I corrected in subsequent strategic plans I developed there, at Ohio State and the University of Maryland System. That first plan was too internally focused. It was what I call an ego-driven plan, calling for higher rankings, more selective admissions, and more institutional prestige. Too many strategic plans I read these days suffer from the same defect.

For both principled and practical reasons, in today's world, public university strategic plans should be focused on the institution's capacity to affect the broader community positively. After all, these universities are created and supported by the public for the public good, not for institutions' internally driven egos. That's the principled reason. There is also a practical reason why this is important. A successful strategic plan requires both internal and external resources. The plan should drive fundraising campaigns, foundation grant requests, and federal and state grant applications. For the most part, external funders aren't interested in advancing a school's rankings. They are interested in funding opportunities to advance the public good.

Another mistake I made with my first strategic plan was to focus priorities and resource allocations too narrowly on the institution's strongest departments, leading to "winners and losers" as determined by the central administration. A better strategy, which I used with subsequent planning efforts, is to identify broad institutional priorities through the planning process and invite proposals from departments and colleges as to how they would address these priorities. Multidisciplinary responses were encouraged. A selection of distinguished faculty, perhaps drawing on reviews by external experts, then evaluates the proposals and makes recommendations of those that should be funded. This approach appears to be gaining some favor nationally. Under the leadership of President Darryll Pines and Provost Jennifer Rice the University of Maryland just concluded such a process. They invited proposals addressing society's "Grand Challenges" of our time, which had been identified in the institution's strategic plan. They made multiyear funding commitments to three large multidisciplinary proposals following a rigorous review and selection process. The results of this process were presented to the university's foundation and will now become a top priority for fundraising efforts.

Such a process has many virtues. It ensures the quality of funded proposals. It also gives unsuccessful units the sense that they at least had an opportunity for support. Moreover, the reviews of their proposals provide constructive feedback, which will be helpful in future such competitions or other grant proposals.

Assessing Team Members and Providing Constructive Feedback

In general, universities are notoriously bad at providing professional development opportunities and rigorous personnel assessments for administrators and staff. Other sectors of society, including the military and the private sector, do a much better job of this. Ironically, these sectors employ strategies and consultants from our institutions to develop their professional development programs and policies.

The quality and effectiveness of the leadership team can only be sustained over time if the president is willing to devote time and attention to a substantive performance evaluation with constructive feedback to team members. The

president should also actively seek professional development opportunities for team members, such as participation in relevant professional associations and support for travel to relevant meetings. Each member of the team should be periodically asked to represent the president at events when the president has a schedule conflict or when the president's attendance is not deemed necessary.

Performance evaluation is best accomplished by an annual review process based on a set of agreed-upon goals. A process that has worked well for me requires several steps. It begins with a meeting early in the summer to discuss the team member's leadership challenges, issues facing the team member's division, and its role in implementing the strategic plan. The team member is then asked to develop a proposed set of performance objectives for the coming year with performance indicators to gauge success with the initiatives. This leads to a second meeting a few weeks later, where agreement is reached on the team member's yearly performance objectives. Not all objects can be quantitatively measured, but most should be.

Over the course of the year, several meetings are held with the team member dedicated solely to the status of the performance objectives. At these meetings, it is possible there could be some adjustments to the performance metrics because of unforeseen circumstances.

At the end of the academic year, the team member is asked to write a report with an analysis of the progress of each performance objective based on the performance goals. After a careful review of the report and an independent analysis of performance metrics, a frank conversation is held with the team member to provide a constructive assessment of the member's performance. The meeting is followed by a letter summarizing the discussion. This assessment is the primary tool used to determine team members' merit increases.

Given a leadership team of half a dozen or more members, the time commitment for this kind of evaluation is substantial. But I have found that the effort produces a significant return on investment in the growth and performance of leadership team members.

There is a second benefit to a process such as this. Despite a president's best efforts in recruiting talented team members and building a unified team, some members will inevitably not work out and must leave the bus. These are among a president's most difficult decisions and must be handled with care and sensitivity for both professional and legal reasons. A rigorous, carefully constructed annual review process can help the team member understand that there is a need for a change in the division's leadership. Importantly, it can also serve as the documented rationale for the decision process should the president's decision be legally challenged.

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Building an Effective Leadership Team

Dr. Kim A. Wilcox

This essay focuses on the creation and support of a true "team" that works together to advance the institution. The premise of the chapter is that simply assembling a collection of talented individuals is not sufficient to ensure success; instead, the group must see themselves as part of a leadership team with individual and joint responsibilities within that team. The chapter will discuss the professional attributes of a successful team member, the nature of interactions within the team, and how the leader might best nurture the group as a "team." Advice for leaders will include what to look for in recruiting and interviewing potential team members as well as how to create a collaborative environment that encourages teamwork as an expected part of everyone's performance. Those topics will be specifically considered in relation to the creation and nurturing of a diverse and inclusive leadership team, and the leader's responsibility for professional development for women and colleagues of color. Importantly, successful leaders and team members share many of the same attributes: integrity, candor, effective listening, a commitment to the institution first, staying in one's professional lane, the ability to adjust/compromise, and the ability to provide frank feedback on performance (both to and from the supervisor and the subordinate).

In a large, complex university, it takes a team to both manage and lead the institution. A group of talented individuals, however, is not necessarily a team. Instead, members of an effective team must also share a common commitment to the institution and to each other. This essay describes some attributes of an effective leadership team, and how to assemble and lead one.

Personal Attributes of Team Members

When I am asked what I look for in a colleague, my first response is always a good listener. The obvious reason is that major universities are too large for anyone to know completely; so one must listen continually to keep up with all that is happening on the campus. Leaders must also be able to listen carefully enough to judge the accuracy and utility of what they're hearing and contextualize that information within their existing knowledge.

I also put listening first on my list because it is a key indicator of a person's humility and patience. Those who are always talking generally put themselves first, if not in their own minds, then in the eyes of others; and that persona is not helpful to effective leadership. One must not only listen to learn but also to provide the speakers, who generally

have less power than the leader, with the time and respect that they deserve. Effective leadership requires compromise, and effective compromise derives from careful and respectful listening.

Another key attribute that a team and each of its members must share is an abiding commitment to the institution and its well-being. While self-confidence and self-promotion are often requirements for advancement at lower levels of the organization, members on an executive team must possess political savvy and a nuanced approach to highlighting the areas they lead while first prioritizing the needs of the institution as a whole. Inflated ego undermines an individual's performance as well as relationships between and among team members, making everyone less effective. Leadership often comes with increased public visibility and access to special events and opportunities. It is easy to have this go to one's head; so leaders must actively cultivate gratitude for their roles to remain humble. Attention is fleeting. In almost every case, once you're out of the job, you're out of people's minds, as well; so it's wise to avoid becoming too used to the attention.

Universities are great places, in part, because there are so many resources, and there is a general willingness to support a wide range of new ideas. Unfortunately, for some this becomes an irresistible temptation to use the campus as a personal hobby farm—a provost who has always wanted to create a new boutique academic department or a student affairs director who wants to start a student program exactly like the one they participated in themselves as a student. When initiatives like these are aligned with the university's goals and aspirations, they may be great, but when they are driven by personal histories or desires, they indicate a commitment to individual interests that supersedes a commitment to the university.

I have often advised deans to avoid catching "Dean's Disease," which is the desire to start a new program as part of their legacy. Nearly every dean that I know can point to a department, research center, or program in their college that they wish had never been created. We have all inherited programs or departments that we wish we didn't have. These programs don't fit with the university's broader mission, lack a culture of excellence, or have never been sustainable. Perhaps if our predecessors had thought more carefully about the long-term role of these programs within the university, we wouldn't be saddled with them today. It is almost always easier to start something at a university than it is to close something down. Selfless leaders spend a great deal of time evaluating how any given decision will be seen by their successors. Whether it is a new initiative, new strategic direction, or even a public statement on an important issue, selfless team members consider each decision through the dual lenses of current institutional needs and long-term impact.

Of course, simply being a good listener who is committed to the institution is not enough. Effective teammates must also be content area experts, preferably with extensive experience. A productive team needs each member to do their job effectively which, in turn, makes everyone's job easier. I didn't list "content expert" first in my list however, because it is the "obvious" attribute and the one that is often too highly prioritized. Assembling a group of independent experts with little interest in each other's concerns will not yield the most effective team. Instead, one should look for experts who *want* to be part of a team and understand what it means to be an effective teammate.

It is not always easy to select the right team members, but equally challenging can be advising those who want to be part of the team, but either aren't ready or whose current position doesn't warrant, in your eyes, a seat at the table. For

those who aren't yet at the table, personal mentoring is my response of choice. Hopefully, you can assist with their development. Your time and attention signal their importance to the institution.

Nurturing a Team

A good team should function well when everyone's assembled in a large meeting, or when any two or three members of the group are meeting separately. The characteristics and behaviors, as well as the shared goals, should be the same in both settings. Similarly, a leader's interactions with the team should be consistent across settings and should be guided by some basic principles. Among those principles is the requirement that you walk the walk of cooperative leadership. I openly admit to my colleagues that I don't have all the knowledge needed to run a campus, and I need them to help me. I explicitly state when their advice has shaped, or changed, my thinking or altered one of my decisions. This admission opens the door for more frank advice in the future.

Assuming that the team members have been selected, in part, because they are good listeners, then the team leader should provide the opportunity for all of the team members to exhibit that skill. As an example, agendas for my leadership team never have more than three items. Once a week for ninety minutes, we meet not for sharing reports, but for discussions on important institutional issues for which broad input and perspective is needed. Often, some team member may have more knowledge of a subject than others and may be called on to lead the discussion, but there is time for everyone to participate in the conversation. The leader should in fact, be sure that everyone *does* participate, either by calling on those who haven't spoken or, more effectively, by posing questions from differing perspectives that call for the other "experts" in the room to weigh in.

I also avoid sitting at the end of the table during team meetings. Instead, I try to sit at the middle of one of the sides. When the leader sits at the end, that end becomes the de facto "head" of the table and seats nearby the "head" become privileged seats. Sitting in the middle of the table not only brings some equity to the seating arrangement but also puts the team leader in the middle of things where it's easier to hear everyone, maintain eye contact, and draw others into the conversation. I also vary which side of the table and which of the middle seats I choose, furthering reducing the belief that some seats are more important than others.

Another personal bias is my disdain for "Round Table" (where you go around the room and everyone provides a general update) as an agenda item. These often remind me of show-and-tell in kindergarten with everyone having to come up with something to say, some people saying way too much, and little if any of the comments yielding productive conversations pertinent to the entire group. Most—or all—of what is shared in a round table agenda item can better be shared by email. Additionally, important issues should not be put off until a staff meeting, but should instead be addressed in a timely fashion.

Candor is another important attribute of any effective team. Members of a successful team must be candid with one another, even in difficult conversations. Such candor, over time, yields an environment where team members speak freely, and at the same time can listen to challenging statements without becoming threatened or angry.

It's easy to talk about complete candor; in fact, it's easier to talk about than achieve. Some conversations are difficult, and at times I've said too much to someone; but in general, saying too little and withholding feedback has led to bigger

problems than saying too much. Moreover, the better informed your colleagues are, the better they will be able to do their jobs. That information may, at times, cross lines of responsibility, but they are all professionals, so they should understand the need to treat that information with discretion. Moreover, they should appreciate that knowledge of issues outside of their portfolio will help them perform their duties, but having that knowledge is not an invitation to assume their colleagues' roles.

Candor must be modeled by the leader in private, in group discussions, and in performance evaluations, both formal annual evaluations and ongoing feedback. I repeatedly remind my colleagues that performance reviews are formative, not summative. Their purpose is to help us become better at our jobs, and not to simply delineate our success or our shortcomings. Simply put, highlighting the good things that were accomplished in the previous year won't make us better. Instead, we must honestly assess where we need to improve and how we should change. Beyond the simple metrics of unit progress, I try to identify one or two behaviors for each colleague to focus on in the coming year. In many cases, these are chosen to make the individual more effective in their job and often include team-oriented behaviors. But some are also chosen specifically to improve their potential as a candidate for their next job.

In that vein, early on in my relationship with each of my direct reports I make a point of talking with them about career goals and trajectory, and what I can do to help prepare them for their next job. That may include deeper engagement with the academic enterprise for someone in student affairs, or more budget experience for someone in DEI, and so on. Once defined, we work together to strengthen their knowledge base and their CV so that their experiences in a wide area of activities is apparent to the reader. The important message here is that I'm interested in their future and that it's okay to be planning for their next job. I also try to develop my performance reviews with the "whole person" in mind, making a point of talking about work-life issues, family, vacations, and so on. I'm genuinely interested in my colleagues' lives, and I've found that expressing that interest has great value in nurturing the team.

Career change is a fact of life and should be a consideration in the organization of the team. For instance, each of my vice chancellors is invited to bring one of their direct reports to our weekly staff meetings for a year. The intent is to provide exposure to the meetings and their topics which should help improve the operation of the university, but it also creates continuity for the time when someone on the team moves on. Each summer, the invited "seconds" rotate, and a new cohort replaces them, broadening the knowledge base of the campus.

I also try to make candor a two-way street. So, for example, at the end of every annual performance evaluation session, I ask each colleague for any advice that they might have for me. I appreciate that this is generally a stilted conversation given the power dynamics, but over time most colleagues become increasingly comfortable offering me feedback on my performance or suggestions for how to be more effective. And I always find that feedback useful. Similarly, I continually encourage colleagues to challenge me. Often when I float an idea I'll simply say, "Tell me I'm wrong." Most of the time, I'm encouraged by the response. That success builds over time and contributes to a culture where people feel they can "speak truth to power," a characteristic that is partially determined by a person's nature but can be nurtured and modeled over time.

In this media-rich age, *how* we share information can be as important as what we share. I won't go through all of the present-day communication options and pitfalls, but one worth mentioning is the risk associated with email. Email can be extremely efficient, and for many of us it defines our working day. But it lacks the nuance of face-to-face or even

telephone communication. In a word, email can be impersonal, and being impersonal is generally not a good thing for a team. Many times, I've watched issues swirl out of control because all of the communication between the discussants was by email, while a simple phone call would have been quicker and would have addressed the issue before it became a problem. Recognizing when to intercede and suggest that team members talk to each other, as well as modeling that same behavior yourself, can be very helpful in nurturing the relationships with a team.

Many years ago, I worked with a preschool that focused on language development. One of the tactics that the teachers used with the students was "redirection." When a child came to a teacher with a problem—"he took my toy," or "she won't share," for example—the teacher would tell the child to address the other child directly rather than ask the teacher to intercede. This redirection forced both children to develop language/negotiation skills that they might not have, otherwise. (Note: When the respondent child knew that the teacher had directed that the negotiation take place, the likelihood of success was greatly increased.) So too, with colleagues. Expecting that whenever possible, things get worked out among colleagues, rather than through the boss is crucial and leads to increased ownership for problem-solving in the future. In my experience, this expectation is assumed by more experienced colleagues, but often needs to be nurtured in less experienced ones; so at times you need to be deliberate in your redirection.

A challenge of managing a team is effecting a balance between supporting your colleagues' independence and redirecting their actions in a way that you feel they could better serve the institution. The key phrase in the previous sentence is "you feel." You must constantly judge your wisdom against the wisdom of others. Everyone must find their own way in this challenge. For me, I will admit to generally erring on the side of deference to my colleagues, and sometimes I realize too late that my deference may have been misplaced. But so far, the university has survived.

Inclusion

Much has been written about the benefits in terms of the quality of discussions and decisions that come from having a diverse team. I won't repeat that here. I will note that for leadership teams there is another important benefit, and that is the model that it sets for the rest of university. When administrators are struggling to identify the best choice among various diversity initiatives for their department, school, or unit; I generally advise them not to worry about making the best choice, but just do something. It is unlikely that a conscientious leader will do something untoward. They may not select the "best" option, but whichever one they choose will likely move their agenda ahead. Moreover, they can always change to something else later. The important point is not what they do, but the fact that they do *something*, and the sooner that they do it, the better, because people are watching. So too with building a diverse leadership team which may be the most visible diversity initiative on the campus.

Universities are rightfully criticized for their slowness in diversifying our administrative teams. But criticizing an entire university (or all of academia) lets individuals off the hook. Instead, I believe in a simple axiom: The immediate supervisor is responsible. So if the department chairs in a college are not diverse, we should hold the dean responsible; if the deans are not diverse, we should hold the provost responsible; and if the vice-chancellors are not diverse, we should hold the chancellor responsible; and excuses should not be tolerated. I recognize that it can take some work to find diverse candidates, but so be it. That is our responsibility.

Part of the difficulty we have in identifying candidates from historically underrepresented groups is self-created. For example, the most common path to the university president is department chair then dean then provost, and the extent to which we continue to recruit "traditional" looking chairs and deans makes diversifying upper administration even more difficult. Of course, those in the "traditional" mode, are largely white males. We need to work harder at diversifying our entry-level administrative positions, for they serve as the primary entrée to upper administration; and we must be more willing to select those with non-traditional credentials if we are to diversify our leadership. To be clear, this is not a call to recruit large numbers of people from outside the academy (although I am not necessarily opposed); instead, it is a call to recognize the full range of talent within the academy when looking for leaders.

Leaders from diverse backgrounds face their own set of challenges. First, of course, everyone is watching, which makes their every task more difficult. Second, they rightfully have a perspective that brings value to the conversation and may feel a special burden in being sure that their perspective is heard. Third, in many cases, women leaders and those of color often face criticism that others may not. Team leaders have a responsibility to seek out diverse team members, but they also have a special responsibility to support them. I will admit to struggling with this, at times. It can be hard to be supportive and not appear patronizing. And it can be hard to be "helpful" without undermining the colleague's effectiveness. My best advice is to face the challenge and do your best. A particularly difficult task in this regard is balancing external feedback. Faculty and staff are asked to formally review administrators regularly and can offer advice and criticism nearly anytime they want. Sorting out what is valid and what is bias-driven can be difficult in any situation, but even more so when the feedback is directed toward colleagues from historically underrepresented groups.

Leadership jobs can be hard, and everyone needs support. Women and colleagues of color often need that support more than others and can be disadvantaged in career advancement. A good team leader does what they can to minimize that disadvantage. One of my personal measures of success as a leader is my record of advancing my colleagues' careers.

Years ago, one of my mentors told me that "credit is infinitely divisible." (Not surprisingly, he was a math professor.) I try to heed that axiom. Recognizing everyone's contributions is an important part of any leader's job. Rather than worrying about how much credit you'll receive for any given success, your efforts are generally much better served by ensuring that everyone else gets credit. That credit will eventually redound to you.

There is no "right way" to create and lead a team. At the end of the day, everyone must do what works for them. What I have offered here is based on my experience, and it fits my style. At the same time, it is grounded in a commitment to university success, a commitment to colleagues' development, and a commitment to maintaining an environment that is both honest and will serve the institution well.

Chapter 3: Budget Policy and Long-Term Planning

Dr. Ed Ray

Chapter Overview

Many colleges and universities, particularly in the public sector, simply raise or lower budgets equally across units each year, depending on whether funding goes up or down. It is easy to agree that one can do better than that and make informed decisions regarding incremental increases and decreases across units. The challenge is to do that in a way that incentivizes behavior that benefits the institution, addresses student curricular demands, promotes student, faculty, and staff success, and minimizes negative unintended consequences. Furthermore, there are always actions to implement in both public and private institutions that improve the financial well-being of the institution, but they are not the same for all institutions. Leaders must address unfunded institutional aspirations.

- Implementing an incentivized distributed budget model.

Many academic institutions follow historical budgeting, incrementing and decreasing budgets equally to balance the budget. Rapidly changing career opportunities and choices by students often result in insufficient resources in the most dynamically growing programs in the university. Faculty and staff, teaching, research, and service support resource needs change over time. How can budgets match program demand and supply, as well as institutional goals and aspirations, while avoiding unintended negative consequences?

- Revenue growth and cost containment.

For the last forty years, state funding for public colleges and universities has remained flat or decreased in constant dollars. How can institutions generate alternative sources of funding and manage costs more effectively?

Budgeting Strategically

Mr. William J. Shkurti

Beginning in the 1990s, many universities moved away from the traditional, centrally controlled budgets to more distributed systems driven by academic goals rather than historical patterns. In this document, I identify the elements that make this a more strategic approach and use real-life examples of both its benefits and challenges. The structure of these more distributed systems varies widely among universities but cluster around three common characteristics:

- More explicit alignment between budget and planning.
- Financial sustainability over a multiyear time horizon.
- Achieving university-wide buy-in from a diverse set of stakeholders.

I also discuss the tailoring of the approach on each of these elements to the unique culture of each university or college.

Since the profligate 1960s, most institutions of higher education have struggled to fulfill their academic mission in the face of increasing costs and increasingly constrained resources. Many have turned away from traditional budgeting to models focused on aligning incentives more strategically.

Under the traditional budget process, especially in the public sector, the emphasis lies on a highly centralized annual exercise that looks at a relatively fixed base as a given and adds an inflationary component across the board with an emphasis on "fair shares" for everyone. Harvard served as an outlier for many years for what became known as "Every Tub on Its Own Bottom." This meant a decentralized structure in which every academic unit, such as a college, functions as a somewhat independent business responsible for both its own revenues and costs. As financial pressures mounted, other institutions developed their own versions of this approach. The University of Pennsylvania (Penn) adopted what it called Responsibility-Centered Management (RCM) in 1974. The University of Indiana at Indianapolis and Bloomington was the first public university to convert to RCM in 1990. [1]

Since then, alternatives to traditional budget models have spread, some under the RCM banner and others under a variety of titles, including Value-Centered Management, Budget Restructuring, Budget Reform, The Budget Model, Performance-Based Budget, Activity Based-Budgets, and Hybrid Budgets. These alternative models now account for a third to a half of all public and private institutions, including many of the top universities in the country. [2]

Although these all have some RCM-type characteristics in common, finding a label that fits a variety of institutions and approaches can be tricky. For example, sometime in the late 1990s I was part of an Ohio State University delega-

tion that visited the University of Indiana at Bloomington to learn more about their RCM system. We asked them what they thought was the single biggest improvement from the old traditional system. They agreed it was the ability for academic units to carry over unspent cash balances at the end of the year. We were surprised, because Ohio State's system, which was very traditional at the time, had permitted the carry-over of cash balances for years.

Rather than devote a lot of time on definitional issues, in this essay I will approach what I call "Strategic Budgeting" by identifying best practices that apply to both public and private institutions. I call this approach "Budgeting Strategically" and conduct my evaluation around these three building blocks:

1. Aligning budget with academic goals.
2. Ensuring financial sustainability.
3. Achieving campus wide buy-in.

Aligning Budget and Planning

Critics of traditional budgeting contend that it places too much emphasis on an annual accounting exercise and not enough on a multiyear strategic advancement exercise.[3] If you go on the website of almost any college or university, you will likely find a strategic plan, often in great detail. You will also find some sort of budget document that lists sources and uses by accounting code, often in great detail. Very seldom will you find any document that links the two. But a budget without a long-term plan is like a car without a driver. A plan without a budget is like a car with no fuel.

Declaring a priority is one thing. Funding it is another. Critics of traditional budgeting argued that the bottom up, historic fair shares characteristic of most traditional systems squeezed out resources for needed investments, and that by the time historic budget bases received an inflationary increment and their fair share under traditional budgeting, needed investment directed at the future was left on the cutting-room floor.

Supporters of a more strategic approach argue this need not be a huge amount of money, maybe 1–2 percent of annual spending, but it should be reserved for high priority strategic initiatives that fundamentally improved the organization's future prospects. This meant a wide number of units would be eligible, but awards would be competitive and not allocated as "fair shares" (Jones 1995, 11-12).

Those colleges and universities who have moved away from traditional budgets approached this differently, but most have set aside central resources for future investments. This includes the early RCM adopters like Penn, Indiana, and Michigan, but also later adopters of different systems such as the University of Arizona, UNLV, and Kent State University. A 2015 review by the Education Advisory Board concluded that colleges and universities with non-traditional budget systems allocated a median budget of 1–3 percent of annual revenues for central funding of strategic initiatives (Education Advisory Board, slide 50).

That said, very few institutions have specifically aligned the strategic plan priorities and budget-funding priorities in their budget documents. Ohio State University is one that currently does in the form of a four-page narrative as part of its formal budget presentation to the board of trustees (Ohio State University Financial Planning and Analysis 2023).

When Ohio State converted in the early 2000s, it specifically set aside funds for strategic priorities. Five percent of the annual increase in tuition and state support was reserved for centrally budgeted strategic initiatives, including competitive awards to academic departments under the Selective Investment initiative.

A decade later, the university built on this experience to launch the Discovery Themes initiative, which was both more expansive and more focused than what had happened before. It was more expansive in that any unit could apply, including centers. It was more focused in that it was limited to three thematic areas where the university had already established a strong reputation in teaching and research. These were Health and Wellness, Food Protection and Security, and Energy and Environment. A fourth related to the Arts and Humanities was added later.

Another significant change was to encourage proposals that crossed disciplinary lines where often the most exciting and significant research was likely to take place. This included areas like biomedical engineering, infectious diseases, and alternative energy sources. The response across campus was extremely favorable, and the university received many more worthy proposals, particularly of an interdisciplinary nature than it could support (Asher 2021).

The university's leadership also concluded that the 5 percent set aside established as part of the 2003 budget restructuring was insufficient to produce the results expected. Even with annual General Fund revenues growing at 5 to 6 percent, that meant 5 percent of that was only 0.025 to 0.030 percent of the total annual spending, well below the 1 to 2 percent desired. So in 2012 the university decided to monetize its parking assets by leasing them out to a private company. This move created some controversy on campus over the concerns about lack of control over an important asset, but in exchange the university received a lump-sum payment of $483 million. Instead of spending it outright, the bulk of the money was invested in the university endowment where it could be expected to pay out more than $20 million annually in perpetuity and increase faster than inflation (Asher 2021)

Up to this point, we've addressed the importance of the 1 to 2 percent of spending that supports key initiatives, but what about the remaining 98 to 99 percent?

Incentives

Although the continued funding of campus-wide strategic initiatives is critical to the future of any college or university, that is not a reason to ignore the more routine day-to-day operations. Traditional budgeting in a highly centralized system based on historic shares provides very little in the way of financial rewards for deans and other academic leaders. They may not be part of central administration but should be treated as an important resource to develop new or expanded programs in response to a changing environment.

This became very clear to me when a senior university official responded to a question I posed about our stubborn closed-course problems shortly after I arrived at the university in 1990. He told me they did not take enrollment shifts into account in making budget allocations because enrollment fluctuations were based on fickle student interests. He used as an example nuclear engineering, which was popular in the 1950s and 60s, but fell out of favor after Three Mile Island in 1979.

Three years later, I was at a meeting with the deans where we talked about how to regain our budget footing after a series of state-imposed budget cuts. Our provost asked the deans why they weren't more aggressive in developing new or expanded programs to attract more students. They responded they lacked the confidence that central administration would reward them in the budget process for the risk they took in committing resources to something new or different.

Ohio State's challenges at this juncture might have been more extreme, but not unique among centrally controlled budget systems. Thus the idea of a decentralized system with a set of financial incentives empowering academic leaders at the college level to have a greater say in resource allocation as responsibility centers began to take hold. Under this system academic units (usually colleges or schools) would be guaranteed a significant portion of the income they generated, but would also accept a significant portion of the costs they incurred.

Revenues

Student tuition is the largest source of support for instruction for most colleges and universities. In higher education costs, such as salaries and utilities, tend to be fixed at least in the short run; therefore, the ability to sustain or grow enrollments is essential to advancing the institutional mission.

Under the more traditional budget, all tuition and state unrestricted support is collected centrally, then distributed to academic and academic support units, usually based on some sort of historical share. This has the advantage of stabilizing funding, but at the expense of incentives to adapt or innovate. We have already discussed the problems created, such as closed courses and lack of incentives to develop new programs, when tuition doesn't follow students.

Once a college or university decides to distribute tuition revenue to its academic units in a non-traditional way, it needs to decide four things: who those units are, how to measure enrollment, what time frame to use, and how to fund support services, such as libraries, which are important but don't directly generate revenue. Various institutions approach this differently, but best practices cluster around using colleges or schools as the responsibility units, with a two- or three-year moving average of enrollment as a base. Credit hours are the most commonly used measure of activity, but this has broadened in recent years as the public has called for greater accountability for timely graduation and course completion. Many institutions now use a combination of credit hours, majors. and degrees granted (Education Advisory Board, slides 30-34). An RCM-type formula also provides a transparent way for colleges and universities to distribute the increased revenue from new programs such as the increased number of online offerings.

Expenses

Wages and salaries are the single largest expense for academic units. Under both traditional and incentive systems those expenses are charged against a unit's budget. In a traditional budget system, units are expected to keep their expenditures within the amount determined centrally and heavily influenced by history. Under the incentive-oriented systems, units are also expected to manage within their budgets, but those budgets are determined more by revenues generated by the unit rather than a central determination.

In a traditional budget other functions, such as space, student support, and libraries, are funded centrally. Under the more incentive-based system, budget units are also expected to pay all other expenses associated with supporting their units. This can include direct charges for things like employee benefits or space, specialized support services like student financial aid, the registrar, library, and public safety. Every college and university does it a little differently, but most use a mix of direct charges, charging algorithms, and general taxes or assessments.

Budgets for these items are determined centrally, but costs are often allocated back to the responsibility centers. Space and employee benefits are often charged directly. Algorithms based on the number of students taught are usually used to fund student support services such a financial aid, scheduling, and so on. The remainder, which might include the library, public safety, and the president's office, are funded through a general tax or assessment on revenues, usually at a rate of between 20 and 30 percent (Education Advisory Board, slides 35-40).

Reconciliation

Once the formulas for distribution of revenue and expense are determined, the next step is to run them though with live numbers to see what the bottom line looks like for the individual colleges and schools. Most universities transition to a new system by initially producing a dry run for a year as a learning exercise to allow everyone to become familiar with the new budget system before moving ahead to full implementation.

Officials at Ohio State took this one step farther in a unique effort to explicitly reconcile both the budget numbers and the academic goals they are supposed to support. The provost did this via a twenty-five-page memo directed to the deans but shared with everyone on campus. He began by laying out the six priorities of the university's academic plan and how the new budget system would support them. He then went a step farther by explicitly listing the thirteen selective Excellence Programs recognized by the university through a rigorous peer review process.

The university administration had been reluctant to single out these programs in the past, fearing it would paint the other programs as losers. But at this point the leadership concluded that if the university were to live up to its aspirations, it would have to learn how to celebrate excellence without demeaning other units.

The provost laid out the projected base budget numbers for each of the eighteen colleges in the proposed new budget system in the second part of the memo. These were labeled "Sources and Uses Statements" as opposed to profit and losses to deliberately stay away from business jargon. These statements showed that eight colleges generated more revenue than expense to support the other ten who did not.

In the third part of the memo the provost reconciled the academic goals described in part 1 with the budget realities in part 2. He emphasized that he was not moving to an "every tub on its own bottom" system. Instead, he divided the eighteen colleges into three categories and described how they would have their base budgets held harmless, decreased, or increased over the next five years.

This was a somewhat risky step politically because it was so explicit, but in fact it received a great deal of support from the deans and other stakeholders, including the faculty, because it provided a sense of clarity and reason to what had previously been viewed as an opaque process. [4]

Sustainability

One of the principal weaknesses of traditional budgeting is the tendency to focus on only one year at a time. With relatively high fixed costs in the short run and revenue sources such as tuition and state support that may fluctuate without much warning, higher education institutions need to be prepared to sustain themselves in both good times and bad.

Reserves

Financial sustainability begins with some sort of reserve or rainy day fund to help buffer against unpleasant surprises. Most public and private colleges and universities usually end the fiscal year with a relatively large amount of cash on hand, but unless structured properly it can produce a false sense of security. This is one-time money, so once it's spent it's gone. And as it accumulates, it takes on the appearance of a slush fund that creates political problems for both internal and external constituencies.

The best way to counter this is to develop a clear, coherent set of policies that lay out what should be set aside and how reserves should be used. These tend to break out into one of three categories:

1. Operating/Contingency. These are the funds to ensure that bills get paid on time and to offset an unexpected drop in enrollments, loss of state support, or other unpleasant surprise. The National Association of University Budget Officers recommends that this amount should equal at least 25 percent of annual expenditures [5]
2. Infrastructure. This is money set aside to renew critical infrastructure, including aging facilities and in many cases technology as well. These amounts vary greatly by institution.
3. Strategic Initiatives. I discussed this earlier in the section titled Aligning Budget and Planning. This is a relatively small amount (1 to 2 percent of annual spending) but needs to be funded consistently year after year to be effective.

In addition, individual institutions may set aside specialized reserves for circumstances unique to their mission or environment. For example, the University of Las Vegas at Nevada, which was faced with rapidly growing enrollments, set aside a real estate acquisition reserve to help cope with campus growth (Hignite 2020).

Multiyear Planning

In order to remain financially sustainable, colleges and universities need to think ahead in terms of multiple years rather than the traditional focus of only one year at a time. This provides more lead time to make adjustments by managing vacancies, consolidating functions, streamlining processes, rewriting contracts, and so on.

All universities and colleges engage in some sort of multiyear planning for spending on capital projects, but unfortunately few do this for operating budgets, and of those that do, most do not share the information widely. The purpose of a three- or five-year financial plan is not to predict a given outcome, but rather to help all the stakeholders better understand the relationship between various options and their impact on future finances.

The University of Pennsylvania and the University of Michigan are two examples of universities that do address five-year financial projections as part of the annual budget, but these projections are not published on the websites. The University of Arizona does publish three-year planning parameters on its budget website, but not the outcome of these planning efforts. Other universities may engage in long-term financial planning but have not shared this publicly.

Achieving Buy-in

Managing change in any organization is a challenge, but especially in institutions of higher education, which include a lively collection of well-educated and vocal stakeholders suspicious of higher authority. Buy-in from them is particularly important because a distributed budget system requires a certain degree of trust from leaders of individual colleges, departments, centers, and support units to function effectively.

Most successful transitions to a new distributed budget share certain characteristics in common:

1. A compelling case for change.
2. A commitment to transparency.
3. An extensive consultative process.
4. An appropriate time horizon for adoption.
5. A mechanism for periodic review and adaptation as needed.

Case for Change

In many instances, the precipitating event is some sort of budget crisis that leaves everyone frustrated and open to change. In Ohio State's case, it was a series of brutal budget cuts targeted by the state of Ohio against higher education in the early 1990s. Campus groups, including faculty, argued they had to make a lot of changes as a result, so why shouldn't central administration? University officials decided to label the new process "budget restructuring" as opposed to something like RCM in order to make it more consistent with that line of thinking.

The case for change is not complete without a value proposition as to why the proposed changes will make things better. A good example of the case for change for a private university can be found on the University of Pennsylvania RCM website. A good example of the case of change for a public university can be found at the Kent State University RCM website. In both instances, the university leadership stressed how the proposed changes would advance the institution's academic mission.

Attempts to assess the impact of RCM-type budget systems on revenues have been mixed, but this may reflect the difficulty of measuring something when the applications by various institutions vary so widely. [6]

Commitment to Transparency

Achieving buy-in from stakeholders such as faculty and department chairs means university officials need to be transparent in providing them with the financial information they need to make an informed judgment. In some cases that may require the administration to share financial information more widely than they had in the past. I remember when I first arrived at Ohio State, a senior university official told me they did not want to fully open the books, because if the faculty saw how much money was in circulation through the system (even though most of it had restrictions on its use) the faculty would want to spend it all. The problem with that approach is that it produces an information vacuum that feeds conspiracy theories and spreads distrust.

Ohio State officials decided to make opening up the books a feature of the budgeting process. So enhanced information was distributed first to the budget advisory committees described below and then to the campus.

The adoption of the web-based technology opened up additional opportunities for distributed data as well. The RCM websites for Penn and Kent State described above are good examples. Technology has now advanced to allow explanatory videos as well. Good examples can be found at the University of Delaware and Oregon State University budget websites.

Extensive Consultation

The best way to achieve buy-in is to engage stakeholders in the design of the system at an early stage. Most successful transitions do this through some sort of university-wide committee either as part of the established governance process or through a specialized committee created for this purpose. Some have used both.

The key to success in an undertaking such as this is to make sure the committee(s) are involved early, that information is shared on a timely basis, and their concerns are addressed. Membership should include representatives of faculty, deans, and department chairs, staff, senior administrators, and students. Committee members will express a variety of concerns, but some issues in particular surface on most campuses. One is the impact on interdisciplinary work. Another is potential course poaching. And the third is how the libraries are funded.

Higher education coexists with somewhat of an internal contradiction. Colleges and departments are organized along traditional disciplinary lines. But an increasing amount of cutting-edge research and scholarship cuts across traditional disciplinary lines. A good example is biomedical engineering, but it's certainly not the only one. RCM and its variants didn't create this problem, but many of those involved in interdisciplinary research worry that a system where the incentives are controlled by traditional units, makes the situation worse, as deans or department chairs are loath to give up revenue or incur additional expense.

There are a number of ways to address this. One is to make sure ground rules on funding of interdisciplinary centers are thoroughly discussed prior to implementation. One option is to treat them as responsibility units as well, so they control their own revenues and expense. Another is for central administration to develop a template on how interdisciplinary grants could share indirect cost revenue or space costs. A third approach is to make interdisciplinary work a

priority in distribution of central funding. For example, Ohio State gave interdisciplinary proposals a higher priority for competitive funding in the allocation of Discovery Theme awards, which has resulted in a robust response.

One of the goals of a more distributed system is to give units an incentive to expand enrollment where appropriate. However, it can also be an incentive to do so at the expense of other units, which is not appropriate. The colloquial term for this is "course poaching." Examples might include math for engineers or writing for business, that siphon off majors from other departments such as mathematics or English. One way to address this is through some form of central review of new course offerings. Many campuses have a faculty committee with wide representation across disciplines that reviews and must approve new course offerings. The key is to conduct these reviews in a timely manner so that it does not become a bottleneck that becomes a barrier to the timely offering of new courses.

Another strategy is for the provost's office to referee course offerings in popular new areas. For example, instead of letting a free-for-all develop in the growing field of data analytics, Ohio State officials got all the potential stakeholders around the table to hammer out a multidisciplinary data analytics major that included the colleges of Arts and Sciences, Engineering, Business, and Medicine.

Libraries are an emotional issue for many faculty, so how they are funded becomes important to achieving buy-in. Schemes to fund the libraries through some sort of chargebacks based on usage usually meet strong resistance. The more common practice is to fund libraries as a central resource, much the same way as the provost's office or the registrar.

The specifics of the consultation process will vary depending on the unique character of each campus. Unanimous agreement on all the details is not to be expected, but at least everyone should feel they've had an opportunity for input. For example, the University of Florida has laid out an extensive consultation process at its Budget Enhancement Improvement website. It also has a Faculty Senate Budget Council with its own web presence at https://fora.aa.ufl.edu/FacultySenate/Councils/Budget-Council. The Kent State and Oregon State budget websites also lay out extensive consultation structures.

Time Horizon

Timing is everything. Gaining buy-in as described above takes time, and the more time allowed, the more opportunity for a healthy give and take. However, if the ramp-up period takes too long, then stakeholders may lose interest, leadership changes may complicate things, or other crises may intrude. Often overlooked in discussion of a more distributed system is the support structure to allow it to succeed. That includes making sure the budget and accounting information systems provide timely information at the appropriate level of detailed information to the unit level on a timely basis. It also means giving deans, unit fiscal officers, and department chairs the training they need to manage the additional flexibility they have.

The time devoted to discussion and ramp-up to a new system usually runs from three to four years for most institutions. However, there are some significant outliers. In a presentation for National Association of College and University Business Officers, two veterans of the Texas Tech conversion argued that four years was too long because it allowed

"too much time for doubt to emerge and positive energy to wane." They recommended that the process should be limited to no more than two years (Barnes and Clark, n.d.)

In contrast, Ohio State University took eight years, which their officials felt was necessary for successful implementation. They concluded that such a delay was necessary in order to buy time for two supporting efforts to be completed. One was the completion of the strategic plan that the budget model was supposed to support. The other was to allow time to install a new accounting system that would better support the budget model. Both of these were not completed until 2001, but once they were in place, implementation moved quickly, taking only two years.

So in the case of lead time, as in every other aspect of budgeting, each institution needs to adapt its goals and processes to whatever unique factors are appropriate to help ensure success.

Review and Adaptation

The financial environment facing universities is constantly subject to change. Installing a new budget system in a complex institution does not always go according to plan and may produce unintended consequences. Most universities that have done one of these conversions built in some sort of downstream review process to make changes as needed. Two of the first institutions to adopt RCM-like systems are classic examples. The University of Indiana implemented its version of RCM in 1990 and conducted formal reviews at five-year intervals in 1995–96 and 1999–2000. The University of Michigan conducted a review with the appointment of a new provost shortly after Value-Centered Management (VCM) was implemented in 1997. The university adopted major changes in 1999 that included changing the name from VCM to The Budget Model. Additional reviews in 2014 and 2019 concluded that the system was working well but recommended improvements in simplicity and transparency, which were subsequently adopted by the university. [7]

Results of other reviews have been posted online by the University of Arizona, University of Florida, Oregon State, and University of Pennsylvania. For example, after a review at the end of three years, Arizona decided to change its system from RCM to "Activity-Informed Budget." Aside from name changes, one of the more common adjustments was to simplify structure. The classic example is University of Southern California, which reduced its elaborate structure of 100+ cost allocation formulas to four consolidated cost pools (Education Advisory Board, slide 38).

Although the frequency and nature of review vary from institution to institution, it's fair to say that best practice is to conduct some sort of review every five years or so, to adapt to internal experience or changing external conditions. Many of these reviews have resulted in modifications of the original RCM-type budget model, but there do not appear to be any cases where a university has chosen to revert back to the more traditional system.

Conclusions

In this essay I have examined why many colleges and universities have moved away from traditional incremental budgeting to models that are more directly tied to academic goals, that emphasize long-term financial sustainability, and seek to achieve campus-wide buy-in. Although I have identified examples of best practices associated with these goals,

I have also emphasized the importance of each institution's tailoring its policies and processes to its own unique environment.

What follows is an annotated list of some of the most informative campus websites on non-traditional budgeting.

Alternative Budget Model Websites

Arizona, University of, *Activity Informed Budgeting*, https://aib.arizona.edu/.

Delaware, University of, *Hybrid Budget Model*, https://sites.udel.edu/budget/budget-model/.

Florida, University of, *University Budget Model Manual*, https://cfo.ufl.edu/wp-content/uploads/2020/04/University-Budget-Model-Manual.pdf.

Kent State University, *Responsibility Center Management*, https://www.kent.edu/budget/responsibility-center-management.

Michigan, University of, *Budget Model and System*, https://obp.umich.edu/budget/budget-model.

Oregon State University, *Budget Model*, https://fa.oregonstate.edu/budget/budget-model.

Pennsylvania, University of, *RCM at Penn*, https://budget.upenn.edu/budgeting-guide/overview/rcm-at-penn/.

Toledo, University of, *Budget Modernization,* https://www.utoledo.edu/offices/budget/rcm/pdfs/open-forum.pdf.

Additional Information

The librarians at the University of Toledo have put together a comprehensive bibliography on RCM. This can be found online at https://libguides.utoledo.edu/RCM.

The Education Advisory Board has produced a PowerPoint on RCM budget models for Bowling Green in 2015 that the university has shared online at https://www.bgsu.edu/content/dam/BGSU/finance-and-administration/documents/EAB-Budget-Models-BGSU.pdf.

Huron Consulting presented a review of non-traditional budgeting in 2021 for Toledo University at https://www.utoledo.edu/offices/budget/rcm/pdfs/open-forum.pdf.

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Priest, Douglas M., William E. Becker, Don Hossler, and Edward St. John (eds). 2002. *Incentive Based Budgeting Systems in Public Universities.* Northampton, MA: Edward Elgar Publishing

Whalen, Edward L. 1991. *Responsibility Centered Budgeting*. Bloomington: Indiana University Press.

Notes

1. The classic description of Indiana's conversion can be found in Edward L. Whalen, *Responsibility Centered Budgeting* (Bloomington: Indiana University Press, 1991).
2. For more about the current status of these initiatives see the 2015 briefing done by the Education Advisory Board for Bowling Green State University and the briefing by Huron Consulting done in 2021 for the University of Toledo described in the "Additional Information" section.
3. See, for example, Douglas P. Jones, Strategic Budgeting: The Board's Role in Public Colleges and Universities, AGB Occasional Paper No. 28, 1995, 6–9.
4. A summary of this document can be found online at https://www.osu.edu/osutoday/0102/budget.
5. For a good discussion of reserves, see University of Illinois at Chicago, Establishing a Financial Reserves Policy, 2014 Bringing Administrators Together Conference, https://www.conferences.uillinois.edu/common/pages/DisplayFile.aspx?itemId=2436.
6. See, for example, Ozan Jaquette et al., "Growing the Pie? The Effect of Responsibility-Centered Management on Tuition Revenue," *Journal of Higher Education 89*, no. 5 (2018): 637–676.
7. A detailed description of both Indiana's and Michigan's two five-year reviews can be found in *Incentive Based Budgeting Systems in Public Universities*, ed. Douglas M. Priest et al. (Northampton, MA: Edward Elgar Publishing, 2002), 93–107, 137–159. The University of Michigan has also placed its reviews online at its Budget Model website.

Using Budgeting Effectively

Dr. Sherman Bloomer

Budget policies and practices are tools to advance the goals of an institution. Budgets are also visible to most members of a university community and can sometimes be viewed as the only motivation for decisions—to the detriment of pedagogy, curricular needs, and mission. Aligning budget practices with institutional goals and priorities and communicating (repeatedly) how those practices support the goals and priorities are critical. A change from historical and incremental budget distributions to productivity-informed or responsibility-centered management (RCM)–based distributions at Oregon State University and a recent review and revision of that change together provide an example of the opportunities and challenges in such a transition. The budget distribution approaches had to balance real and perceived incentives for scholarship and teaching, online and traditional instruction, high-cost but mission-critical programs and high-enrollment lower-cost programs, and the needs of academic units for both sufficient staffing and high-functioning services and support operations. The most productive discussions about balancing each of these interests came when the focus was on "and" rather than "versus." Budget development is commonly very focused on annual cycles but benefits from being part of longer-term financial planning. Forecasting three- to five-year trends can help the development of productivity-informed or RCM budget practices by buffering them against significant changes in state funding, pension costs, or international enrollments. Long-term forecasting at an institutional level can identify areas of concern for the institution's financial health (unaddressed depreciation costs, for example) and can inform annual budget decisions that contribute to long-term financial goals.

Context

The observations here come from my work at Oregon State University as a department chair, dean of a large college, and associate vice-president for budget and resource planning. My thoughts are shaped by what I learned along the way and as much by the absence of some things as by the presence of other things. I was very fortunate in my role in budget to have many talented, professional, and patient finance colleagues educate me about the nuts and bolts of university finance and many academic colleagues who willingly engaged in rethinking how we did some things and patiently (mostly) listened to me talk about why the financial and business realities of the institution did limit how fast we could do things or how much of certain things we could do. I am particularly grateful for the learning and planning we did together through the pandemic.

The observations in this essay are much influenced by my experiences as OSU transitioned from a largely incremental education and general budget process (though there were activity-based budgets associated with the online education program) to a modified responsibility-centered-management (RCM) budget process. The work on this transition was in collaboration with deans, senior leadership, and university budget committees from 2015 to 2018; it was implemented in 2018; it was reviewed comprehensively in 2021–2022 and is currently being revised. The review provided not just an understanding of what had worked (and what had not) in the budget model change, but a great deal about how people viewed the budget model, how they understood it to work, and the things they did not understand. It emphasized to me the importance of effectively communicating about budget and budget processes.

What Are the Mechanics?

One of the things that surprised me when I went from my role as a dean to the budget office was how little I actually understood about the budget mechanics of the institution—how much revenue comes from tuition? What's our discount rate? What are the trends of state funding? How much of the total budget is spent on people? What are the central costs we have to pay (debt, insurance, contracts with the city, etc.)? Not all of the details would have mattered in my dean role, but understanding some of those details would have been very valuable in explaining budget to department chairs and faculty (and understanding it myself).

Depending on your role at your institution, some level of knowledge of how the budget works is valuable. A department chair might want to know the broad outlines of where revenues come from and how they are spent in the education and general budget and what recent trends have been. This can be helpful in showing faculty why engagement in student recruiting is important or why expectations of state funding or endowment returns are limited.

For senior leaders, having a broad knowledge of the budget levers for your institution would include the mechanics of the education and general budget, the magnitudes and trends of revenue streams for the major self-support operations, how philanthropy works at your institution (an affiliated foundation or within the institution), and what the restricted fund portfolio looks like. It's useful to know the current state of affairs and what the trends have been the last few years.

The point of my suggestion is not that you will be managing the details of those funds but understanding them helps you talk with faculty, staff, and the campus about budget and how it works. Public universities would love to see more investment from the state, but if it is 15 percent of your revenues and has not changed in fifteen years, it may not be a strategy that is promising. Growing grant revenues is important for the mission at some institutions, but that may or may not grow the finance and administrative costs recovered from those grants depending on the types of grants and the agencies they come from. Unit-level enrollment strategies and ideas can generate lots of enthusiasm, but if your institution has been stagnant in undergraduate student enrollment for years, the issues are likely larger than individual unit programs. A broad understanding of your budget mechanics can help you engage with the university community more effectively.

Budget as a Strategic and Communication Tool

Budget is something that almost everyone at a university or college notices and has an opinion about. This can make it a source of frustration, but it is also an opportunity to engage the campus community in conversation about how the budget works and why certain decisions were made.

Productive conversations about budget require a degree of openness about budget and budget data. The extent to which you can share budget detail likely varies depending on your type of institution (private, public with an independent board, public and part of a state system, etc.), but at some level it is likely you can share budget information with your leadership and the campus community. Where does the budget for your unit (or institution) come from? Where does it go? What is the general outline of the budget distribution process? In the absence of shared information, the members of your unit and the campus community will create a narrative that likely will not match reality very well.

Making budget information available is not necessarily the same as making it understandable. How you present it, how much explanation you provide, and the acronyms or language used can obscure what you're trying to share. Making the public budget data understandable is an important part of sharing it. One way we approached this at Oregon State was to start a series of informal budget seminars. We called them "Budget Conversations," but they were really a series of budget primers. We'd put together a one-page (front and back) summary, explain it for about twenty minutes, then open the conversation up for questions. These ranged from where the whole budget comes from and where it goes, to how finance and administrative cost recovery from grants works, to how capital projects come to be, and so on. These have proved to be very useful both for helping more of the campus understand the budget and for creating a small library of explanations to commonly asked budget questions.

A more formal, and unit-specific, budget report can also be useful. The provost at OSU asks each college leader to do an annual financial report that is for the members of the college (and also informs the provost). The report details the budget sources and distributions in the college, highlights major budget investments in the last year and their outcomes, looks ahead to major investments planned in the next two years, and discusses any threats or emerging opportunities for the college. These have been helpful in creating a resource for faculty and staff to have access to an overview of their unit's finances and are a resource when questions are asked or someone says, "well, no information is ever shared with us."

Data as a Foundation

Something to ask when you take on a leadership role is how well does the institution or unit understand itself? Are there good data on credit hours, spending, faculty and staff FTE, benefits costs, grants and contracts expenditures, and so on? The question is probably not "are there data" but "are the data accessible and accurate enough to inform decision-making." There are two big reasons for checking into the data tools.

This first is for planning. It is very hard to know what your strategy should be if you don't know what the organization looks like now and where it has been. How much do the faculty in your unit teach? What do they teach? Who

is bringing in external funding? In what areas? Who are the students who come to your institution? What's their socioeconomic distribution? What's the staff to faculty ratio across your units? Are there good reasons why they are different? There are a lot of questions you're likely to want to have answered to inform your strategies, and it should be (relatively) easy to get at least first order answers to those questions.

The second reason is that you're going to want to be able to assess if the strategies you put resources into have the effect you want. Did adding those two recruiters in Texas move enrollment for you? Did the investments in a summer bridge program meaningfully affect first-year retention or graduation rates? Did the research center you funded make good on the projections for grant funds and external engagement? Higher education has not always built assessment into the academic (and service) investments we make. Increasingly slow revenue growth makes it more imperative that an honest look at the effectiveness of new things is part of making those investments.

So, as you take on a new leadership role, explore the data ecosystem for your institution. If it is hard to get answers to questions you're asking, it may be that is one of the first areas you want to give some attention. Good information is foundational to making good (or at least informed) budget decisions.

What Does Your Budget Process Encourage?

There are lots of approaches to budget development and distribution in higher education. Incremental budgeting, activity-based budgeting, RCM budget models, other outcomes-based budgeting, and combinations of these can be found in the public and private sectors. These intersect with constraints that may come from your legislature, state system, or board. All of these systems can work and they all can create incentives for certain behaviors by your leadership and faculty.

If you're using incremental budgeting, you may expect to provide stability and to encourage strong professional relationships between deans and the provost and college-based advocacy for budget decisions. You may not intend to create a perception that a particular dean is successful in that advocacy because of personal or social relationships. If you're using RCM budgeting, you may intend to encourage deans to pay close attention to college enrollments and graduation rates. You may not intend for colleges to think up entrepreneurial ways to teach courses outside their core expertise to capture credit hours. At Oregon State, prior to the development of the modified RCM, our growing online program was budgeted on a revenue-sharing model, and the campus programs were budgeted largely through an incremental approach. This encouraged units to grow their online programs, but it also turned out to encourage offering sections for on-campus students online instead of in person.

Any approach to university budget will create incentives for some things you didn't intend. If you know what they are and they're outweighed by the positive aspects of the approach, then you're good. If, however, you don't know what those intended and unintended behaviors are, your units may be spending quite a bit of effort on activities that aren't actually moving the institution forward.

It is worth spending some time understanding how your budget process is perceived. Ask your leadership team what they think increases their budget allocation. What are they doing with the intention of securing more resources? When you have an opportunity to talk with department or school heads, ask them what activities they think change

their budget allocation. You don't need to do all that yourself, but it is important to understand how leaders and managers understand your budget process and what it is encouraging them to do or not do. If those actions are at odds with what you need to advance your strategy, you likely need to either communicate the actual budget process more clearly or consider a revision in your budget process to align the incentives with the desired actions.

Once you do understand your budget process, I would also encourage you to honor it in your decisions about budget allocation to the degree possible. Unexpected circumstances and emergencies do arise, and resources have to be committed outside of the usual annual budget cycle. However, if your direct reports find they can lobby you successfully for resources outside the institution's usual process, you'll spend a lot of time in those conversations and will frustrate leadership in units that are sticking to the defined budget process.

Long-term and Short-term

Balancing short-term and long-term budget needs is one of the most challenging parts of allocating your institution's resources. Budget is, of course, an annual process, and the immediate needs of replacing positions, easing advising loads, shoring up Title IX services, and the myriad other needs of a university of any size can trump the need to maintain operating reserves, set aside cash for capital renewal projects, or plan for essential strategic investments, like replacing the ERP or making cluster hires of faculty in key areas. The problem is exacerbated by the fact that almost all of the existing budget is distributed to someone doing something, and maintaining those efforts, every year, is the largest annual incremental budget investment any institution has to make. Carving funds out of increasingly limited new revenues for long-term needs isn't easy and has to be intentional.

Making allocations for long-term strategic needs should be an integral part of your annual budget development process. There are a couple approaches that can help with this. Oregon State's Board of Trustees asks for an annual ten-year business forecast that lays out current plans for capital projects, enrollment strategy, and trends in revenues and expenses. It is at a very high level and, of course, has significant uncertainty in years farther out. However, it is very valuable for management to identify key areas of weakness and to consider different ways of addressing those weaknesses. It provides a way to talk to the campus community about why funds are being set aside for a particular reason ("in five years we'll have enough to completely renovate Founder's Hall") or why a particular program is being started now, even though it may have little impact for one or two years ("in six years this master's degree program should have enrollment of x and will be generating y dollars to support other needs on campus"). It was not a small amount of work to set up the methodology for doing this, but it has been well worth the return.

On a more local level, we have begun asking units to make their annual requests for new budget resources in a three-year time frame. Unit heads in service and support units are asked what new resources they need (and for what of course) for the next fiscal year, and for the two years after that. This has helped them think more strategically and to think ahead a bit about how much they can realistically manage in the next year. It has allowed leadership to look at the aggregate requests and consider if some can be staggered across years, if there are common "pain points" across units, or if there are some things that could be funded from reserves rather than new recurring funds. We also have all of the unit leaders reporting to the provost all of their colleagues' requests for new budget. It has helped unit leaders

develop a better understanding of the complexity of the institution and a more strategic view of the annual budget process.

Flexibility for Leaders

When I came into the budget office, I was surprised how many requests for resources (often one-time) came to the Provost or the Vice-President every year outside of the usual budget cycle. I was equally surprised at how small many of those requests were and how little latitude the senior leaders had to address them. The requests consumed a lot of time and energy and resulted from a lack of consistent strategic reserve allocations at the right levels.

Giving leaders at every level some level of discretionary reserves can be very helpful in getting small things done without having to go up the approval chain for every single thing. Making sure senior leaders have reasonable strategic reserves lets them respond to institutional strategic needs effectively. Institution leadership sometimes wants to retain year-end balances all centrally so funds are not "wasted." Unit level leaders want to retain year-end balances because they "earned" them by good management and know best how to use those resources for their part of the mission. Some balance between those extremes is good. If unit leaders have some discretionary reserves, they can make smaller local decisions quickly. If the Provost has reasonable strategic reserves, they can respond to strategic opportunities. In all cases it is important that leaders using those reserves clearly recognize they are spending one-time funds, not recurring funds.

One way we've tried to strike that balance at Oregon State is to redistribute reserves in the units reporting to the provost and the vice-president for finance at the end of each year, because these are resources allocated by students and the state and we need to use them strategically and responsibly. Twenty-five percent of the ending balance goes into a reserve fund for the provost and vice-president, and the balance remains with the unit to be invested in strategic needs (which ought to be periodically reported on by the unit). This approach has encouraged unit leaders to manage responsibly and has, over time, established strategic investment funds for the senior leaders.

The precise approach to this will depend greatly on your institution. Public institutions may have board or legislatively established minimum and maximum reserve balances; some portion of reserves are always committed to faculty start-ups or projects that cross over fiscal years, or there may be board limits on how you can manage your end of year balances. Within those limits, considering how to let leaders at every level have access to strategic funds they manage can be an effective tool in getting things done with your budget resources.

Scarcity and Opportunity

One of the things that was striking in our review of OSU's modified RCM budget model was that virtually every conversation we had included the comment that "there wasn't enough." The specifics of the comment could be about tenure-track faculty numbers, supplies and equipment for laboratories, staffing in human resources, or accountants in business operations but came from colleges, business units, academic support units, and executive offices. The prevalence of a scarcity mind-set was striking.

This is hardly a surprise, as most universities, public ones particularly, deploy most of the resources they receive, don't hold huge reserves, and always have longer lists of things to improve or start than they have new revenue. It was very clear the scarcity mind-set was limiting how units and unit leadership viewed what they could and could not do.

While the scarcity is real—there are always more things to do than there is incremental revenue to support them—institutions have millions, or tens of millions, or hundreds of millions of dollars to support and educate students, engage with their communities, and pursue scholarship and innovation. Those dollars come from students and taxpayers and provide an opportunity to do as much good as possible. Keeping that message as part of budget development and management is very challenging but very important. If the scarcity mind-set is the only lens that is used, it can easily squeeze out any thinking about new opportunities or new directions.

I don't mean this to be unrealistically optimistic. The enrollment and state funding challenges faced by many institutions are real and daunting. Sometimes, they are severe enough that the conversation has to be about hard choices and reductions. But for many institutions with stable but challenging circumstances, it is worth considering how to talk about opportunities in each budget cycle, even as you have to say no to some things.

Plan for the Down Cycles

Most higher-education institutions have faced the impacts of a recession on state funding and endowment returns or a sudden shortfall in enrollment. These events are not always predictable, but it is extremely likely they will occur at some point, so planning for them is prudent. This isn't completely at odds with the advice I just provided about promoting an opportunity mind-set. In that, I was thinking of the prevailing thinking about the annual budget at the institution. In planning for recession or enrollment-driven budget downturns I am thinking about the need to have a plan when those circumstances arrive.

If you've been able to set aside significant discretionary reserves over time, you have one piece of managing those downturns in place. However, for many institutions maintaining reserves at a level that would let you weather the one or two or three years of a major downturn is probably unlikely. If so, the more you have thought about what you would do in those circumstances, the more effectively you can manage them when they arrive. For most of us, when those downturns have happened, we have to make decisions quickly; there aren't many options; and we wind up with largely across the board reductions that can have long-term consequences and aren't very strategic.

It is worth thinking about your strategy for those downturns before they happen. What do you have to protect—advising services, research administration, the library? What could you defer or fund out of something else—capital renewal repairs, capital equipment replacement, staff professional development for a year? If you had to reduce programs or degrees or services what would be the criteria? There are many possible choices and it is a hard conversation. However, having those conversations before you are scrambling to deal with a sudden decline in budget resources can be invaluable in managing through that downturn.

Final Words

The purpose of higher education, regardless of institution size or type, is to make a difference in individual lives and to advance the economic and social well-being of the communities our institutions serve. It is a compelling and rewarding mission, and budget management is the engine that makes the work possible. Conversations about budget, budget processes, and budget priorities can be daunting, but I encourage you to embrace them. Clear and open dialogue about budget can help your institution understand your priorities and constraints and can help you understand how well the members of the institution do (or don't) understand your priorities and processes.

Chapter 4. Responding to Authority: Delegating and Establishing Accountability

Dr. Ed Ray

Chapter Overview

Everybody has a boss. Every president or chancellor reports to an institutional and/or a system board. In relation to the board or boards, it is important to have a clear understanding of the roles and responsibilities of board members and the president/chancellor. New board members require orientation and perhaps some training, and board appointments should be time limited. Bylaws, policies, and procedures need to be clear and non-contradictory. There should be a doctrine of no surprises between the president/chancellor and the board(s) on all important policy matters.

Leaders rarely begin a position with a blank slate in terms of the leadership team within the university and the roles and responsibilities of each team member. It is critical to keep duplication to a minimum for team and leader effectiveness. There must be policies and practices to assure that assigned roles within the institution and with external constituencies are clear and to assess the effectiveness of the leader and those with delegated authority to act on behalf of the institution and achieve agreed-upon results. The board(s) and president/chancellor need to agree on internal and external responsibilities.

- Inside baseball and outside baseball. Who is in charge?

Given the critical importance of alignment in long-term objectives of the board and the president/chancellor, how can communications between the two be kept clear and timely? How are differences resolved? How can a board delegate but verify internal effectiveness by the president/chancellor? How can the campus leader reduce duplication of effort by defining and enforcing the roles and responsibilities among members of the leadership team? Given the external roles of both the board and the campus leader, how do they support each other's efforts effectively?

- Annual agendas, assessments, and outcomes.

Based on one-to-one relationships with each of her or his leadership team members, how can a leader set policies and procedures that assure minimal duplication of effort, ensure accountability by those who have delegated authority, and assess whether or not outcomes meet expectations?

Who's the Boss? Shared Governance and the Future of Higher Education

Dr. Gordon Gee and Mr. Michael Young

The changing role of university governing boards and their relationships with institutional leaders and stakeholders can leave today's higher education observers wondering, "Who's the boss?" The concept of external volunteers guiding colleges and universities is a uniquely American innovation that dates back to colonial times. These external perspectives are uniquely valuable assets to twenty-first-century presidents in this age of rapid change and public distrust. Having a governing board gives universities access to wisdom from many different disciplines and sectors and provides a pipeline into what the general public is thinking about higher education. Varying governance structures create unique challenges for presidents, but well-established conduits of authority and accountability are vital to creating a healthy leadership team. By defining the board's role, opening channels for candid communication, and holding all stakeholders accountable for their part in the university's effectiveness, we can create a shared governance structure that meets the needs of all university constituents—faculty, staff, alumni, lawmakers, and especially students. This article explores best practices for goal-setting at each level of university leadership, robust information flow among these groups, and the building blocks for mutually supportive engagement and collaboration throughout the university. Meeting higher education's challenges requires that both boards and presidents step up and work together to create a bold new vision for tomorrow's universities.

From the perspective of a typical student or faculty member, it may seem that a president's or chancellor's office is where the buck stops on campus. But, having led eight universities between us, we can attest that every chief executive answers to someone.

Each of those eight universities we mentioned had a slightly different governance structure. Some had institutional boards that reported to a system board. Many boards had members appointed by a governor, while others elected their members.

The concept of external volunteers guiding colleges and universities is a uniquely American innovation that dates to colonial times. And external perspectives are uniquely valuable assets to twenty-first-century presidents in this age of rapid change and public distrust.

Governing boards typically have power to appoint and to fire presidents and chancellors. Thus, these leaders spend their time trying to avoid the infamous trajectory of one notable university president who was hired with enthusiasm then fired with enthusiasm by the board nine years later.

Perhaps that is one reason higher education's various shared governance models provoke ambivalence on our campuses.

As former Harvard president Derek Bok once said: "To critics among former college and university presidents and board members, (shared governance) is too cumbersome a process, especially in today's fast-moving world. To disgruntled faculty, shared governance works badly because it is often ignored by administrations that are too powerful, and by board members who are too quick to meddle in academic matters they do not really understand."

Surveys show that most presidents, however, see the value in governing boards, whose members are living links to the world beyond the ivory tower—the world we are preparing students to enter.

We cannot all be federal judges, or venture capitalists, or hospital administrators. But having a governing board means we have access to wisdom from many different disciplines and sectors. Board members are a great resource for widening the circle of your conversations.

They are also a pipeline into the general public's thoughts about higher education. These days, those thoughts can be disheartening.

Early in President Gee's presidential career, a 1985 Gallup survey showed that 91 percent of people in this country thought higher education was very important or fairly important. In a survey last year by New America, only 55 percent of respondents agreed that institutions of higher education were having a positive impact on society, even though higher education is the most important driver in our culture and our economy right now.

America's public universities have themselves to blame for much of this trust deficit. In time-honored academic tradition, we have endlessly analyzed ourselves but spent little time engaging with the public to see what they want from today's universities.

Articulating a university's value must start with an honest, inclusive, carefully executed series of listening sessions with those outside the university, including board members.

Negotiating a Balance

Negotiating the delicate balance between president and board—between management and governance—is a skill that must be learned. Mostly, it is learned through years of trial and error. And no matter how long you have been a president, you always have more to learn.

The composition of a board also matters greatly to a president. Representations from various societal, political, and economic sectors can provide advice, counsel, and insight that can help a university and its leaders reach their full potential and serve the broadest array of constituencies in the best manner possible. Presidents too frequently have

no input into board appointments, but when the stars align, the president may offer appropriate input and thereby increase the likelihood of optimal board representation.

President Young developed close relationships with three of the governors with whom he worked. In each case, the governor understood just how important the university was to the state and its future and how committed university leadership was to fulfilling that mission. Because of that shared vision, those governors were always willing to consult closely with the president in the selection of board members. The president never overstepped his bounds by demanding the appointment of any individual, but rather suggested attributes, backgrounds, and experience that he sought on the board. The governor then identified appropriate individuals and made the appointments. In every case the contributions of those board members were outstanding, aiding the university enormously and reflecting well on the governor.

Relationships with key political figures can also aid in myriad ways. A more informed, sympathetic, and aligned ear can help secure badly needed funding. It can help when uninformed or misinformed political attacks are made on a university. It can help stave off unhelpful legislation or misguided oversight, and it can help smooth the passage of useful and supportive legislation.

In working with political leaders, it is always important to realize that each leader also has his or her political needs. Support for the university's needs is most likely when those leaders' political needs and the university's needs are aligned. This sometimes requires a president to think at a deeper level about how to achieve the university's objectives.

President Young discovered the importance of that alignment while trying to secure additional funding to expand the faculty at his university. Considering state budget constraints at the time, simply increasing direct funding for the university was not politically palatable. But working closely with community and business leaders, he realized that the governor and the legislature were intensely interested in economic development, as most politicians are. This coincided with the university's interest in expanding its capacity for bringing its research developments into the lives of people through technology transfer and commercialization. University officials did not think that this was likely to increase dramatically the funds available to the university (it rarely does), but they were convinced that this was an important way for the university to fulfill one of its missions and contribute to the betterment of the world.

After much consultation with business and community leaders, a possible alignment emerged between the political need to expand the economy and the university's interest in expanding it faculty and its commercialization activities. Hence was born an initiative through which the legislature greatly expanded the funding available for faculty appointments and even research facilities, if the university made appointments and built facilities that would facilitate commercialization and tech transfer of university-developed research and technology.

In the process, the university learned to speak "political imperatives" language and to describe its needs and wishes in terms that resonated with the needs and priorities of the legislature. The university also promised accountability for the use of the funds. But since it was a direction in which the university desired to go in the first place, the alignment allowed the university to do well and do good at the same time. And it allowed the legislature and the governor to satisfy important political goals.

In sum, in working with boards, governors, legislators, and other critical stakeholders, it is important to look for areas where interests align and develop an ability to identity and highlight that alignment. Cooperation, collaboration, and support are much more likely to follow.

Authority and Accountability

Having a shared understanding between presidents and board members is crucial when it comes to questions of authority and accountability.

In a 2013 survey of presidents by the Association of Governing Boards of College and Universities, two top complaints about board members—amusingly—were "lack of engagement" and "micromanaging."

Imagine how hard it is for board members to know where to draw the line when even we do not seem to know where they should draw the line.

Each member of the shared governance relationship must understand their role. The ideal board member is truly concerned about governance, rather than in adding a high-profile role to his or her résumé. Public university presidents who have gained their state governor's confidence can sometimes play an active role in recommending talented and engaged people.

The general public is most apt to notice boards when prominent people become board members. If they see people of real merit and heft—rather than just a political agenda—in these roles, it gives an institution more credibility.

In today's political climate, however, governing boards are becoming yet another battleground in our nation's culture wars. Since many board members are appointed by political figures, it is perhaps inevitable that some will try to overstep their roles to further political aims.

While this is inappropriate, the older hands-off board model is a likely to remain a vintage artifact. It is said that a long-ago chair of the Harvard board walked into every meeting and immediately proposed a resolution that they fire the president. If the resolution failed, then he ended the board meeting. While that saved time, if nothing else, a more expansive role for boards is our new normal, and chief executives must learn to work in this environment.

Presidents should never waste time pining for the way things used to be, or the way the old board chairman communicated, or did not communicate.

Too much peering in the rearview mirror will only cause a leader to veer off-course. If a current board is keeping a president a bit off-balance, that may be a good thing. A surfeit of comfort can foster complacency. And it does not pay to become complacent about board approval.

That is why a president's role requires sensitivity to the board's wishes and inclinations; an even deeper engagement with the board, allowing members to delve more deeply into the university's operation; greater sensitivity to conflicts among board members; and more willingness to adjust the institution's sails at the board's instruction.

Sometimes board members get especially interested in a particular aspect of the university and want to know everything about it and have significant input into how that part of the university operates. This is not bad in and of itself, but it can distract that member and, on occasion, the entire board from engaging in a more balanced and strategic engagement with the operation and activities of the entire university. Satisfying that board member, while keeping the focus on more overarching university governance can be a challenging task. But presidents must be attentive to that risk and work closely with board members to ensure that their focus and attention are consistent with the proper role of the board in university governance.

Dealing with the problem of a board member's singular focus on a particular part of the university's operations can be made even more difficult if that board member begins, unbeknown to the president, to consult with a senior university leader other than the president. Generally, a president cannot control a board member's decision to contact a senior vice-president or dean. Nor do most board members take kindly to a president's prohibiting other senior leaders from talking to board members. And, frankly, board interaction with leaders other than the president is not always a bad thing. It can sometimes help the board member better perform his or her role. It can also create an avenue for conveying information, challenges, and ideas that are more difficult to convey in other settings. Finally, it can serve as a valuable conduit for senior leaders to express their support for the president's vision, strategy, and leadership.

However, the president can—and in our experience should—require all university leaders to report to the president any contact they have with board members, even seemingly casual conversations and requests. The president can, and should, also require every senior leader to coordinate with the president any response to a board member or the provision of any information to a particular board member.

Little will undermine a president's strategy and vision for the university more quickly than board members going around the president and working directly with other senior university leaders. Over time, moreover, direct interaction by board members with university leadership other than president can fatally undermine the board's confidence in the president. Presidents who cannot secure cooperation from their senior leaders regarding board interaction need to change those leaders!

While we presidents are atop the administrative heap on campus, we are accountable to many—students, alumni, donors, the public. Board members represent the interests of those stakeholders. So when it comes to working with them, no leadership task should go above our heads or be beneath our notice.

And our shared work must include an ongoing conversation about role and responsibilities that help refine the board's proper level of engagement.

We have found that a president's engagement with the board can be improved by expanding the flow of information to the board. Most presidents are trying to do the right thing as they understand it. The key is helping the board share that understanding, which requires that members have considerable information, much of the same information that the president relies on.

In Catholic theology, "invincible ignorance" reduces culpability for missteps made without full knowledge of their wrongness. Boards that lack crucial information can likewise be led into error.

Board and presidential alignment become even more important when the board assumes a more engaged role in the direction and management of the university. When the board sees the university the same way the president does, it increases the chances that the board's and the president's visions will align.

Information Is Gold

In an academic environment, information is gold, and what board leaders hate most is being surprised, especially with bad news. Often, it is tempting to keep bad news from a board, either because it reflects badly on the institution or the president (and the president thinks he or she can keep it confidential) or because the president wants time to address the problem before (or without) board interference and engagement. That is almost always a bad strategy.

Nothing ever remains secret and keeping bad news from the board reduces trust in the university leadership. We think boards reserve a special ire for occasions when they learn something from a news report or an alumnus that they think they should have heard from the president.

As President Gee likes to say, it is better to "put the skunk on the table."

A study by Public Agenda found that university board members become frustrated when they hear spin instead of substance from campus leaders.

Or, in the colorful words of one trustee in that survey: "The staff likes to treat you like mushrooms: keep you in the dark and shovel you with manure."

Candor is a relationship-builder, even when the topics are uncomfortable. Communication is not just for crises, however. Presidents should regularly inform board members about what is happening on campus but also about their thoughts on general higher education trends.

Presidents also need to remember that board members have lives and responsibilities outside of their work on the board. These needs and interests may cause board members to act in ways or take positions that at first seem hard to understand. But sensitivity to board members' outside lives can pay big dividends. President Young recalls a board member whose behavior on the board seemed invariably confrontational. Questions didn't seem to be inquiries, but rather challenges. No answer to any concern that board member expressed ever satisfied. In some cases, the answer simply generated another attack. In other cases, the answer was just ignored and the challenge left hanging.

What particularly confused President Young, however, was that the board member was incredibly understanding, supportive, and even generous with praise in private after the meeting concluded. The board member also provided invaluable advice, counsel, and assistance, though always in private. It took some time before the author realized that this board member, the founder and CEO of a globally successful company, had cultivated a reputation as a no-nonsense, very demanding and rarely satisfied CEO. That reputation and persona seemed critical to the board member's success in business. No matter the public setting, that board member had a reputation to maintain and maintain it the board member did.

Once the board member's needs were better understood, challenges and seemingly hostile interventions at meetings no longer sent the university's leadership into a panic and the contributions of that board member were increasingly sought and received, though usually in private.

How we communicate can also be as important as what we communicate.

Institutional governance is complicated and nuanced. If important conversations take place over email—or, God forbid, text message—confusion is sure to result. Context gets lost, tone becomes indistinguishable, and misunderstandings proliferate.

When important issues arise, it is best to talk with board members in person, since that option exists again in our post-pandemic world. Of course, Zoom and even old-fashioned phone calls are still preferable to written communication that the receiving parties might misunderstand.

At public universities, in particular, a great deal of transparency rightly attends decision-making, with emails, texts, and public meetings being accessible to media. Prior to the decision-making stage, however, talking one-on-one with board members promotes candid conversation about the institution's general direction.

Both presidents Gee and Young find ways to keep in regular touch with board members to discuss issues that do not yet require public discussion.

When controversy arises, board members who are kept in the loop are better equipped to advocate for the university instead of running for cover. At this time when higher education is under fire from many political leaders, a well-informed board and a president can speak with a common voice. Ideally, boards should be defenders of their institution and higher education itself.

When bad news arises, presidents should ensure that the boardroom is an excuse-free zone. In our experience, excuses destroy organizations.

Instead of giving excuses, presidents should seek input. That is why we have board members in the first place.

Too many presidents think their relationship with the board should be largely directed toward managing the board and bringing the board around to their point of view, instead of viewing the relationship as a two-way street. If presidents respect their boards by giving them crucial information, board members can introduce perspectives that are not otherwise readily or easily available to the president.

After all, the presidency is a bit like one classic description of the papacy: You never go hungry and no one ever tells you the truth. Board members, however, are out in the community. Almost by definition, they have connections throughout the state and the alumni base. People talk candidly with them. And the things they hear can be very useful to the president if they pass it along.

Board members also understand various constituencies. They almost certainly understand the politics of their state and the interests of the important alumni that are less likely to be apparent to the president.

To the extent that the board is effectively engaged with the university, its goals, and its challenges, the board can also support and defend the president and the institution to important constituencies, such as the governor, the legislature, alumni, and the media.

All this requires significant engagement with the board, agreement on fundamentals, and mutual respect and support.

Of course, conflicts do arise among board members—an increasingly common scenario in today's politically charged environment. These conflicts are particularly difficult to navigate and can be deadly to a president. Taking sides in such a conflict is perhaps one's first instinct and sometimes almost unavoidable. But that is frequently the wrong course. If possible, it is better to stay above the fray and let board leadership work out problems among members. Presidents can acknowledge the conflict and the legitimacy, such as it is, of each side. We must assume that all members of the governance team are acting with goodwill in what they believe to be the university's best interest.

To maintain a reputation for fairness, transparency, and even-handedness in all board relations is crucial. Most important, presidents should not wade into any conflict between members without letting board leadership know.

Honesty and integrity in dealing with boards is critical. Attempts at manipulation or deceit always backfire.

Building a Firewall

When a president has his or her own conflict with the board, strong relationships with other constituents can be your firewall. Although it is important to keep your board happy, it is more important to meet the needs of your constituents—faculty, staff, alumni, and especially students.

From the campus perspective, a board can seem distant and mysterious. Giving campus stakeholders representation helps; at West Virginia University, for example, a student, two faculty members, and a staff member serve on the Board of Governors that President Gee reports to.

A president's relationship with the faculty is especially important because they are a university's fundamental resource. Few, if any, universities are any better than the quality of their faculty. And while presidents might survive conflict with a board, they rarely survive a significant, meaningful no-confidence vote of the faculty.

Faculty members have chosen to cast their lot with the university, despite their ability to get jobs elsewhere at much better pay. They work at the university because they believe it best positions them to make a genuine difference in the world. In short, there is a reservoir of goodwill among faculty that a wise president taps into. Doing so substantially increases the likelihood that the president can move the university forward.

Consulting with faculty on all major university decisions and involving them as much as possible on committees and projects can help to harness that goodwill.

Unfortunately, it sometimes seems that those professors most engaged in faculty governance are most likely to have axes to grind against university administration, no matter who leads that administration at any given time. Although

we would not suggest that presidents ignore or do battle with these faculty members, presidents should create their own lines of communication with the most prominent, successful faculty, even if they are not actively engaged with the faculty senate or other official structures.

These are the people who make your institution what it is. As a side benefit, if your board becomes unhappy with you, good relationships with these people might save you—at least for a while.

It has been said that each president has three turns to ask for forgiveness. But when you feel you can no longer contribute to your institution's success, for whatever reason, do not wait for them to "fire you with enthusiasm."

Of course, the three "asks for forgiveness" rule does not always apply. When President Gee was chancellor of Vanderbilt, he proposed, and did pass with the support of his board chair, term limits for members of the Vanderbilt board. At that time, Vanderbilt had a self-perpetuating board of forty-one members without any term limits. It was very difficult for a chancellor to ask people to give up their board seats.

In a second controversial decision, without gaining consent from the board, President Gee removed the name Confederate from Confederate Memorial Hall—a residence hall that had been built with donations from the Daughters of the Confederacy. Although popular on campus, this change was met with significant angst among a number of board members and, certainly, the Daughters of the Confederacy themselves. In fact, a lawsuit ensued, in which the university prevailed at the lower level. President Gee decided to just note on all future maps the name Memorial Hall and then put a plaque in front of the building explaining the context.

Finally, as his third act requiring forgiveness, he did away with the Athletic Department and put athletics under Student Life. To do this at a Southeastern Conference school struck some as akin to being un-American. But, again with the support of his board chair, the process was completed, and it did work. Of course, President Gee left shortly thereafter to return to Ohio State.

Dr. Young believes that you should never take a job you cannot quit. Know what your limits are and what your fundamental points of integrity are. When the job becomes untenable for any number of reasons—the board will not let you do the job; you cannot do what you believe must be done; you are asked to do things that violate your own sense of integrity—you should dust off your résumé and take the initiative to leave. It is the best thing you can do for your institution and for yourself.

President Gee has found that after memories have faded, institutions may even hire you back.

Beyond faculty, presidents should also cultivate good relationships with vice-presidents, deans, and other senior leaders. In our experience, these leaders are key to the institution's success. If they do not understand or agree with the president's vision, it is difficult to achieve one's goals. Moreover, these are the people charged with turning lofty-sounding strategic plans into concrete action steps. A close relationship between the president and senior leaders enables them to agree not only on goals, but on the precise measurements of success. That is critical to accountability.

Likewise, the president has an obligation to support and sustain the senior leaders. They cannot achieve the president's vision if they don't have the resources to accomplish their tasks. At the end of the day, prioritizing the distribu-

tion of resources is one of the president's most important jobs, and, if not done correctly, little else matters. Reliance on intermediaries interacting with senior leaders increases the chance of misalignment between goals and resources.

As university leader, of course, the president must liberally distribute credit among his or her team and, at the same time, personally take all responsibility for any failure. We have been stunned to see many chief executives throw their subordinates under the bus at the first sign of trouble. Such a cowardly action almost always comes back to haunt the president.

Senior leaders are much less willing to stick their necks out, trying innovative, imaginative things, if they expect to lose their heads at the first sign of failure. A president must welcome certain kinds of failure—well-intentioned, goal-oriented, and fully disclosed failure—and take responsibility for it. This does not mean tolerating incompetence or dishonesty, of course. But it does mean that if senior leaders are trying to accomplish the president's vision (and the president is adequately informed, preferably before, but at least after the fact), the president should support them. Too many such failures suggests incompetence and should be dealt with, but failure itself is not necessarily a bad thing. But a culture of useful failure only becomes possible if senior leaders feel they have the president's support.

The president sometimes has the responsibility to support and defend senior leaders both inside and outside the university. Sometimes the board will be particularly critical of a certain senior leader. The president needs to defend that leader to the board and, again, take responsibility. This is not a license for senior leaders to do whatever they want. When they have taken truly unacceptable steps, the president must reject those steps—and that leader. But, again, if the leader is largely aligned with the president and trying to fulfill his or her vision, the president should defend that leader against attacks by board members.

Students are, of course, another key constituency at any university. Presidents should engage with student leaders in those areas that concern students. Of course, students sometimes have a rather expansive view of which matters fall within their purview. Having that view is not necessarily wrong, but it does create an opportunity for the president to educate student leaders on the bigger picture of university administration.

The president should use any interaction with students as an opportunity to gain insight into their concerns. At the same time, he or she should never lose sight of the fact that any student leadership group represents only a relatively small percentage of the student body and probably has an even more limited understanding of the views of the student body. Who could fully understand the views of 30,000 or even 75,000 students, after all?

Even more importantly, the president has an understanding of the institution, the educational mission and education itself that far exceeds that of students. Student demands may not be reasonable if they are inconsistent with creating an optimal educational environment or providing the best education possible. Or demands may be entirely reasonable, but not feasible due to resource constraints. Presidential interaction with student leaders should reflect the president's leadership role, of course. But it should also encompass the president's role as a teacher and mentor. The president can use this interaction to help the students become better, more accomplished, more effective leaders.

In our experience, many student leaders go on to significant leadership roles in business, politics, society, the military, and education. They obviously have a desire and instinct for leadership. What better way to prepare them to be suc-

cessful in those roles than to take them seriously as student leaders, which sometimes requires agreement and support and sometimes requires harder lessons in leadership, lessons that a president is often well positioned to offer?

Other Governance Models

In addition to cultivating these traditional constituencies, some presidents must also report to a system leader, usually holding the title of chancellor. In those circumstances, the president does not generally have a direct relationship with the system board. In some situations, one board oversees all system institutions, which in turn each has its own board. In other cases, one board governs all institutions in the system.

If an institution has its own local board, the relationship between that board and the system board must be well defined. In our experience, the local board tends to be more important to the president than the system board. That was certainly the case for Dr. Young at the University of Utah. And in Washington, when he arrived, the system board that theoretically oversaw all institutions was so powerless that the legislature eventually eliminated it, at the urging of the presidents and local boards. Presidents reporting to local boards will find that all we have said previously about board relations applies to them.

The more difficult challenge involves those cases when the president reports to the chancellor, who, in turn, reports to the system board. In this situation, much of what we have said about working with a board can be directly applied to working with the chancellor.

In some cases, however, the system board may be largely concerned or, more correctly, overwhelmingly concerned, with only one of the institutions it oversees. The president of this university faces special challenges. This distance between the president and the board requires a very special relationship between the president and the chancellor. At Texas A&M, President Young has established such a close and respectful relationship with system Chancellor John Sharp.

Finally, whatever governance structure a president must navigate, we believe that cultivating humility will keep a leader on the right course.

Beware the cult of personality that can form around you and the sense of entitlement that can creep in when your position provides everything from a house to the best seats in the football stadium.

Presidents are all dispensable, and our board members know that better than anyone.

The phrase "shared governance" may never excite a president as much as ones like "unrestricted donation" or "national championship."

But communication, accountability and shared purpose will make presidential and board relationships more effective and make the university stronger.

II. Learning and Success

Chapter 5. Access, Affordability, and Student Success

Dr. Ed Ray

Chapter Overview

While the growing burden on students and their families to finance a college education is the leading reason why students begin but do not complete college, a sense among students that no one cares about them and that they are not part of a supportive community is the second greatest cause of non-completion. The greatest financial burden and the greatest sense of alienation among college students is felt by students of color. Unless we deal effectively with finances and community issues, students of color will continue to complete college at lower than average rates, and the achievement gaps between all graduates and students of color will persist. Increasingly, students transfer one or more times before completing their degrees. Are there additional and perhaps more appropriate measures of student success than first-year retention rates and four- or six-year graduation rates?

At the same time, the gap between the demand and supply of college-educated workers in the labor force continues to grow. In fact, as demand increases, enrollment in higher education is declining and competition for students is increasing. What does an effective enrollment management plan look like? Given the changing demographics of our country, the labor supply gap will persist if we do not implement strategies that create more inclusive, supportive, and equitable campus communities, with financial and other support services for students to raise graduation rates, eliminate achievement gaps, and improve other measures of student success. Too often, colleges and universities sustain an underlying culture of "no" focused on maintaining current practices regardless of effectiveness rather than a culture of "no excuses" for not improving the success of students from all backgrounds. How do we create a more positive, diverse, inclusive, and socially just campus culture?

- Creating a diverse, inclusive, and supportive community.

Virtually all academic institutions strive for diversity, inclusion, and a supportive community. What are the structural characteristics and policies and procedures of institutions that are most successful in attaining those goals?

- Student success.

What are best practices for raising graduation rates, closing achievement gaps, and improving other measures of student success? How does an institution develop an enrollment management plan that is effective and responsive to societal needs?

Lessons from Students

Dr. Charlene Alexander

This essay includes interviews with underrepresented students who attended public four-year universities with differing outcomes. Themes evolving from these interviews point to the need for universities to increase investments in engagement, belonging, career readiness, and relevancy, along with High Impact Practices to support retention goals. However, increasingly institutional resources are concentrated on efforts to address what has been described as the enrollment cliff and ultimately net tuition revenue rather than retention efforts. Predictive analytics as a tool to forecast student success has grown over the past few years. Universities entice high-achieving underrepresented students with significant merit scholarships, while providing "meaningful aid" to other underrepresented students who demonstrate potential, yet have limited means to attend public four-year institutions. Determining "meaningful aid" to attract and enroll students is a data analytics challenge dependent on predictive analytics. These analyses are used by institutions to determine what institutional discount should be provided to a student to approach "affordability." Frequently, this practice still leaves low-income students with unmet need, while others receive substantial merit awards and are in essence being paid to attend college. In the meantime, we're seeing an increasing number of underrepresented, low-income, and first-generation students who are reluctant to assume any college debt, and who are cautious of higher education's ability to deliver on their promise of a better future. However, while universities are trying to balance their desire to ensure enrollment, underrepresented and first-generation students are challenged with feeling like they do not belong or "matter" while attending the institution. These developments are the focus of the interviews presented here. Two students had no financial need; one graduated, while the other did not. Two had financial need; one graduated, while the other did not. Efforts to address these retention challenges at Ball State University are presented.

The "demographic cliff" which is forecast to officially begin in 2025, presents serious challenges for college enrollment throughout the United States. This enrollment challenge is the result of three phenomena described by Mark Drozdowski (2023). First, declining birthrates during the Great Recession; second, growing distrust and disenchantment with the perceived value of a public higher education degree; and finally, universities' engagement or lack thereof, with students affected by COVID-19. In *The Great Upheaval*, Arthur Levine and Scott Van Pelt (Levine and Van Pelt 2021), describe a grim future for higher education following the pandemic. Ideally, they lamented, if universities are to survive, remain competitive and relevant, they must structure educational offerings to meet the needs of this generation of students or go the way of the music, film, and newspaper industries. Understanding the ways in which students and underrepresented students in particular (i.e., students holding identities that have been tradi-

tionally underserved in higher education), want to engage with higher education demands institutional change. Scott Bass (2022) further describes underrepresented students' experience with higher education as "unresponsive" to their needs. "When organizations' administrative and organizational operations fall out of harmony with the people they serve, they are experiencing structural lag" (Bass 2022, 12). Structural lag is the inability of institutions to keep up with the changing needs of population cohorts or distinct population constituencies (10). Adding that institutional barriers that underrepresented students have had to address, overcome, and endure while enrolled in colleges and universities abound; they are described by the students who were interviewed for this essay.

This essay describes some creative initiatives employed by higher education institutions to be resourceful in their efforts to attract and retain students. However, although these recruitment efforts are central to ensuring that enrollment targets are met, we cannot ignore the equally important on-campus experiences of low-income and economically disadvantaged students. The interviews presented here are an opportunity to learn from four students who have had varying experiences with higher education; I present their recommendations for university administrators. Finally, I share the results of one initiative at Ball State University that focuses on High Impact Practices (HIPs) and the promising results these efforts are having on the university retention efforts.

Human Capital Research Corporation (HCRC)

Securing the attention of college-bound students has resulted in a growth of organizations utilizing predictive analytics to help institutions meet net tuition revenue goals and attract students to a specific university or college. Companies such as HCRC are providing higher education institutions with customized research and data analytics to ensure they are meeting their net tuition revenue, enrollment, and retention goals. HCRC is able to deliver these results to universities by using predictive analytics to optimize yield, predict acceptance rates, tuition pricing, and retention. Their goals ultimately are to ensure better outcomes for universities, outcomes that state legislators are increasingly paying attention to and are central to state funding formulas.

Another interesting recruitment tactic reported by the *Chronicle of Higher Education* on February 13, 2023, in an article titled "Congrats! You Didn't Apply, but We Admitted You Anyway." It describes an experiment in short-circuiting the admissions process used by universities to be competitive in a tight market. In this scenario, pre-screened students are promised admission to institutions they never applied to with some success. Undoubtedly, this strategy will be adopted by more universities that can afford this practice.

Scott Bass (2022), in *Administratively Adrift: Overcoming Institutional Barriers for College Student Success*, tackles the student experience in higher education related to equity, or the fair distribution of institutional resources. He describes recent influences on higher education and lessons learned from the pandemic, including students' outrage following the murder of George Floyd and demands from underrepresented students for increased responsiveness to their needs. Additionally, while research over the past two years has also called out racial and gender disparities in student access and persistence to graduation (Carey 2008), any astute observer only has to look at efforts in Florida and Texas to contain Diversity, Equity, and Inclusion (DEI) efforts as counter to these efforts with seemingly little opposition.

The following conversation with four underrepresented students who attended public higher education institutions is presented here not only to assist universities in understanding their experiences but also to describe the factors that contributed, or not, to their persistence.

The names and institutional affiliations of these students have been changed to protect their identities. They represent minoritized and first-generation populations with and without financial need.

Student with Financial Need Who Graduated

Meet Rashida (not her real name). Rashida is a first-generation student who graduated in May 2022. She was a state scholar, a program designed to make college affordable for students with need. The program pays up to 100 percent of tuition but does not pay for room and board. To be eligible for this program, students must be enrolled starting in seventh or eighth grade, meet family income eligibility guidelines, and graduate with at least a 2.5 cumulative GPA. Rashida initially hoped to be admitted to another state institution that also covered room and board expenses for state scholars, but was wait-listed at that institution. She found herself faced with the dilemma of needing funding for room and board in addition to what she was able to secure as a Pell-eligible student. The summer before starting university, Rashida worked three jobs. Her first job was that of a dog sitter; she then worked at a retail store from 11:00 a.m. to 5:00 p.m.; and finally she worked third shift at a large packaging company from 10:00 p.m. to 6:00 a.m. Her mom also secured an additional part-time job. Rashida felt she had "a good cushion" starting college and would not need to ask her mom for any additional resources.

Financial Challenges

Rashida had little knowledge about what it would take financially to complete college. Rashida's loans during her first year totaled $8,000. Her loans covered room and board expenses, and she had some money to pay for food and clothes. Her second-year loans increased to $12,000. The reason for this increase, she explained, was due to the fact that she moved to a brand-new dorm and did not know the price until she received her e-bill. "Lesson learned; I should have stayed in the old dorm." She had no room and board expenses during her third year because during the pandemic she returned home and lived with her mother. During her senior year, Rashida was living off campus and had another loan for $8,000. She used her Pell refund of $1,200 to pay her rent. However, during the spring of her senior year, she did not receive another refund to pay her rent, only to learn that she had maxed out on loans because of the summer courses she completed to graduate on time. She explained that she did not know there was a limit on the amount she could take out.

Rashida applied for and received several awards and loans to cover her expenses during her final semester. Although it is true that all students who receive federal financial aid are required to complete entrance counseling, which outlines their rights and responsibilities of borrowing, unfortunately, most students eighteen years of age complete this counseling as a matter of course and may not attend to the fine details, including the aggregate limit on loan amounts.

Academic Challenges

Rashida's mom and older brother attended college but did not graduate, and she was determined this would not be her narrative. Her initial career goal was to be a nurse, but later changed her major to health, specializing in skin care for women of color.

Rashida's academic performance during her first semester was horrific. At the end of her first semester, she was on academic probation, with a GPA of 1.9. She said, "I really did not think I could do it." Later, Rashida was diagnosed with anxiety: "I would pass out during testing, so I went to the testing lab to complete tests or to my professor's office." Her approach to academics changed drastically after meeting with an advisor. It was during that meeting that she fully absorbed the seriousness of her situation. She knew she needed to get a GPA of 2.5 the next semester. During that winter break she says, "a flip tuned on" the realization that her brother did not finish, and her desire not to become another statistic was the motivation she needed. Subsequently, Rashida made some necessary changes. First, she went out less and attended all help sessions for each class she was enrolled in. She obtained a tutor for each class and met with her professors regularly. She started speaking out more in class and using all the resources available to her. That spring, Rashida made the Dean's List and from then on, was on the Dean's List for four semesters during her academic career.

I asked Rashida about her experiences during orientation. Orientation she said, covered all the "flashy" stuff, but not the resources to help you. She needed to know where to get tutoring support, counseling support, or where to go if you needed free groceries or reduced-cost meals.

Additionally, Rashida was not aware of the varied majors related to her interests. As a sophomore, Rashida struggled in anatomy and changed her major to health education; she had no prior knowledge about this major. However, it was in health education that she found a home. As a student in health education, she felt loved by her professors; they were very hands-on. Her new major focused on community, people, and topics that interested her. Experiences she did not have in her pre-nursing courses which typically enrolled sixty students versus thirty students in her health courses. It was rare that students in health education did not show up for class, it was a close family feeling; if a student did not show up you knew. She states as a student in health education, "I was more dedicated to academics".

Engagement

Rashida had a great deal to share about her engagement at the university. She described her first couple of weeks at the university as extremely hard. "I was the only one from my friendship group at high school who went to . . . university" she said. Her first roommate disappeared one weekend and never returned. Rashida felt no one could understand what she was going through, and she wanted desperately to find a group to fit in and realized she would not find friends just sitting in her room talking to her mom on the phone. Then one day she randomly found a distant relative at her university and started getting out of the dorm.

Rashida also learned a great deal about herself as an individual during her academic years. She learned that she is a connector and started to embrace her leadership skills. She became a member of the Black Student Association, and Delta Sigma Theta sorority. Later she became president of the Women and Men of Color student group. She joined

Delta Sigma Gamma honor society for public health and was president of Delta Psi. During her senior year, she ran for homecoming queen. "I pushed myself to get out of my box my senior year," she said. The older sisters in her sorority said, "Never settle—do better"; she reports becoming programmed to do better.

Throughout her academic years, Rashida continued to work approximately twenty-two hours per week to meet all her expenses. During her second year, when she joined a sorority, she needed additional financial support to join that sorority. "Paying for that was expensive. My aunt and family members donated funds to support me, and I did not get all I needed until the day it was due." She was $200 short that morning. Fortunately, her mom called that morning crying; there was a bonus that hit her account that day, and Rashida had the last $200 needed to join the sorority. Rashida attributes her engagement with her sorority to her persistence through graduation.

Advice for Administrators

I asked Rashida what advice she has for university administrators. She is convinced that her success grew because she was able to connect with other students of color at her predominantly white institution (PWI). Administrators, she said, need to experience the level of access students have to resources and increase awareness of the resources available to students. She believes this knowledge would result in increased funding to support students like herself who had to piece together resources from here and there to make it. She also believes that students themselves should talk to their financial officers at the beginning of each year to understand their financial packages and projections for the future so they would not have the same experience she had during her final semester.

Now that Rashida has graduated, her work life is not that much different than her college life. She remains very busy and engaged. She is working as a facilitator at the same organization that supported her during high school; she is a program coordinator at a center for wellness for urban women. Additionally, at the state level, she serves in an advisory capacity as a board member for the Department of Health for the Youth Division.

Student without Financial Need Who Graduated

My next interview is with Gabrielle (also not her real name). Gabrielle's parents are both employed at the university she attended, and in addition to the generous employee discount, Gabrielle had scholarships from her high school along with Presidential and Community Service scholarships. All expenses were paid for and then some. Gabrielle applied to and enrolled in the Honors College. This was the town she grew up in, so she knew where she was going and had parental support to navigate the admissions process. During orientation, Gabrielle met fellow classmates also enrolled in the Honors College, who lived in the dorm with her, and although she knew she was part of a community, it took some time for her to feel comfortable networking within that community.

Employment for Gabrielle during college took different forms. During her first semester on campus, Gabrielle worked as a front desk employee so she could have some work experience. During her third summer, she was employed with summer projects advising, which she did also for the work experience and reports having no challenges getting the jobs she wanted. At this institution, students with financial need tend not to work on campus because of the lower

wages paid to students. The trend is for students with financial need to work off campus, and most take advantage of those opportunities.

Identity Challenges

Gabrielle recounts that the Honors College enrolled mostly white students, which for her was difficult at times. Compared to her experiences, she felt students enrolled in the Honors College were very worldly, traveled extensively, had more opportunities, did not have experiences with others from different socioeconomic backgrounds, or with diverse student populations.

Gabrielle reported feeling alone and isolated at times. She was very secluded in her dorm room at first and then slowly started making friends; she engaged in new experiences after a while, especially with students in her honors classes, although as she describes, this took some time.

Academic Experience

Gabrielle enjoyed larger classes, big lecture hall experiences, as she considered herself to be more introverted and could be easily invisible in these settings. Most of her socialization occurred on campus via informal hangouts. Gabrielle felt very prepared academically for college. She attended a highly ranked high school and completed difficult high school courses with ease. She found some college classes were actually easier than classes she had in high school. She experienced her professors as eager to support her, and they frequently praised her class contributions. Gabrielle's academic success started early and continued throughout her experience in college. She was always on the Dean's List.

Gabrielle reported having no idea initially about what she wanted to major in. Her parents suggested economics, and she decided to take an economics course. She had her first economics class during her second semester, loved it, and performed well academically. At the end of her junior year, Gabrielle joined the Economics Club. One class assignment became her undergraduate thesis and was a turning point for Gabrielle. At her professor's urging, Gabrielle submitted her thesis for a conference presentation in Las Vegas, and her presentation was accepted. Her experiences during the conference were unsettling. She was told she was too smart for the university she was attending and should go on to graduate school. She experienced these comments as derogatory, and triggered conversations she had with other classmates who did not grow up in her home town. Gabrielle internalized these negative comments and conversations about her hometown, which in turn, deterred her engagement with classmates.

Engagement

Sustained engagement for Gabrielle did not happen until her junior year. This was primarily driven by COVID-19, which forced her to check in online with her faculty. During her second summer, her Study Abroad class was canceled, which was a source of great disappointment and sadness.

She was challenged by the negative comments about the town she grew up in from those classmates from outside the state or outside her hometown. She experienced these comments as just hateful and painful, although she never said

anything. She started feeling "less than" as an individual and tried to surround herself with those who grew up in her community; she distanced herself from students outside of her community. She went to counseling, which was not helpful in the beginning but more so at the end. One faculty member introduced her to the Finance Club, and she attended a presentation by the Office of the Comptroller. Gabrielle applied on the last day possible for a position, completed a very comprehensive assessment, and interviewed for the position. Prior to her formal interview, she completed a practice interview with a coach at the Career Center and credits that experience with helping her land her first professional job. She received the good news the day after Thanksgiving, and is now employed as an assistant national bank examiner. A job, she reports, that is consistent with her values.

Advice for University Administrators

Gabrielle's advice centered on the concept of belonging. Students, she said, struggle with belonging, especially those who had to suffer through COVID-19. Gabrielle recommends that orientation should extend through the fall and even into the spring to increase opportunities for students to connect with each other and boost that sense of belonging. She encourages university leaders to keep reaching out to students even after orientation. Students need to continue to be engaged throughout their undergraduate experience to be successful. Her university-sponsored engagements were intense during her freshman year; then those slowly diminished in her sophomore year and then died off. She identified the Career Center as a great asset on campus and would encourage students to utilize these services early and often.

Academically, she remembers speaking with other students who at times needed grace, especially during moments of extreme challenge. Finally, she said, "I am happy with the choices I've made; I attended an institution that demonstrates understanding and provides grace to students."

Student with Financial Need Who Did Not Graduate

My next interviews are with students who did not graduate from the universities they attended.

Brian is a first-generation college student who played the trombone during high school and was encouraged to attend college by his music teacher. He auditioned and was accepted into the school of music at a prestigious state institution. He completed the FAFSA and had grants to pay for college. He would need to find only $2,000 dollars a year to attend college. His plan was to take out loans to meet this need. However, his mom died the summer before he was to attend college, and he was encouraged by family members to take a gap year.

During that gap year, Brian found a job working full-time at a local hardware store and eventually moved into an apartment when his dad started dating. At the end of that year, he was advised by family members to attend another college, one closer to home. He applied and was accepted, although that institution did not have the same reputation in the arts as the institution he was first accepted into. His financial package remained the same.

After some careful reflection before starting college, Brian changed his major from band to photography. Brian explained that he believed his only career choice was to be a band teacher, and that seemed like the only real option

for him at the time and was not a career he wanted to pursue. Because he lived closer to the university and felt familiar with the campus, Brian did not attend orientation, and continued to live in his apartment. He did, however, meet with an advisor to schedule his first semester of classes but had no other engagement with the university.

Engagement

Brian reported not feeling connected to campus. It was stressful, he recalls, trying to concentrate on all the "buckets" in his life that he worked hard to keep full: friends, work, family, and school. He found it increasingly challenging to balance time between work and school. His academic performance suffered some, even though he did enjoy the classes he was enrolled in. He questioned whether or not he was on the right career path and applied for better paying jobs in the photography industry. He was able to secure a better paying position as a photographer, and, as he reports, his attention was now focused on being successful in this field. He also noted a disconnect between his career in photography and the theoretical knowledge he gained from his classes. His coursework did not focus on the day-to-day life of being a photographer. He wanted to learn more about the business of photography, and this was missing from the courses he took.

Additionally, now that he was working full-time, he spent very little time on campus. He reports having no social life with anyone in college. He was able to group his courses together so that his time on campus was limited. A typical campus day in the life of Brian involved driving to campus, parking in the garage, going to class, having a meal in the student union, and returning home. He did notice that the students from his peer group who went to college immediately after high school were well connected and lived on campus, while he felt very isolated and knew no one on his campus. He felt much older than the students in his classes, even though the difference was only one year. This he attributes to the stressors in his personal life.

Academics

Brian returned to campus for a second semester, stayed a couple weeks, and then disenrolled from the university. First, he wanted to leave before he incurred any additional debt; at the time of his departure he had $3,000.00 in debt. Second, he decided he learned more on the job as a photographer than as a student studying photography. The relevance of the theoretical/artistic aspects of a career in photography versus the practical side loomed large in his decision-making. Finally, the decision to leave college reduced the level of stress he was experiencing in his personal life. He concluded that the degree would not have made a difference in his career.

Advice for Administrators

Upon reflection, Brian noted that living on campus would have made a difference in his decision to leave the university. He also endorsed the idea of having more intentional, focused orientation activities for all students starting university, whether they are transferring or students like himself who have taken a gap year. Further, he recognized that while his first plan was to major in music, he did not have a "Plan B" or identified an alternative major/minor. The only conversation he had with his advisor was to schedule his courses. He also wished his first courses were more

applied and could hold his interest as a student. Brian continued to work as a professional photographer after leaving college.

Student without Financial Need Who Did Not Graduate

Justin attended a highly ranked high school and has parents who are both university administrators. He had previous experience with college environments, was comfortable in university settings and felt decently prepared to start college. Justin had no financial needs. His tuition, room, and board were paid for; so were his living expenses. He did not have to work during college. Justin attended university away from his home and participated in the summer bridge program. He found that week prior to the start of classes very helpful. It was an opportunity to make friends in this new environment, tour campus, and identify resources that would be available to him. No one from his high school attended this university, so he reported feeling out of his comfort zone.

Academic Experience

Justin's major was computer science, and during high school he tested nationally at an advanced level. At the university, Justin was challenged from the very beginning. He found the large classes very intimidating, given that his graduating class was fifty, and everyone knew everyone. His first computer science class was theoretical versus applied, and he struggled to keep up. He had hoped this class was more hands-on with practical applications. He was enrolled in a couple of smaller classes, which he enjoyed and thrived in because, as he reports, he was able to have in-depth conversations with those professors. His primary challenge was the transition from a very structured high school experience to a less structured college experience. He had difficulty managing his time and focusing on his studies.

Socially, he spent his time with his new friendship group, which composed primarily of other underrepresented students. He understood that his balance of socializing versus studying was off-kilter. He states, "It's hard for me to sit and study."

Justin spent most of his time in his dorm room, talking to friends, learning about shared experiences as underrepresented students, and spending time at parties. His time-management skills were very poor. Additionally, he was reluctant to reach out for help. He explains, "If I had to ask for help, then I can't do it." He grew less and less engaged with the university.

Second semester things just got worse, and he could not figure out how to climb out of his situation. His social group became more important than pursuing his studies; his academic performance suffered; and ultimately he withdrew from his classes.

Advice for University Administrators

Looking back, he wished he had more assistance with time management. He believed more direct, intrusive advising would have helped his attention and motivation. These experiences helped support his success during high school and

were missing at the university. Developmentally, he just did not feel ready for the independence and responsibility of managing his life and future.

Today, Justin is employed in the banking industry and is experiencing some success. He has been promoted and reports that his motivation today is a new focus on his future and the life he hopes to build given the experiences he's now obtaining.

Themes Evolving from the Interviews

The students I spoke to varied in their interpersonal styles and interests. They all started college with confidence in their ability to succeed academically. Students with financial need were keenly aware of their circumstances and their responsibilities to keep working, whereas the students with no financial need focused on the experiences they were having as students.

Additionally, irrespective of financial circumstances, engagement with the university was a determining factor in the level of persistence for the students I spoke with. Engagement for these students happened at different times during their experiences, but early and frequent engagement, for those who graduated, made a difference in their experience with the university.

I was also struck by the themes of career relevance and the lack of career counseling in Brian's narrative. Brian's experience may have been enhanced by seeing clearer linkages to his interests and early career exploration. Success for Brian may have been a certificate designed for students who are interested in the business aspects of photography. Thus, including career exploration early in the academic advising experience of students may lead to better outcomes for students. For Justin, the transition from a small high school to a large university setting in a new town complicated his level of engagement, focus, and time management.

Engagement is not a new concept in the research on student success (Kahu 2013). However, it can be easily ignored as an essential part of the lived experience of students. Universities are exploring a variety of ways to operationalize "Engagement." At Ball State University, this has taken the form of High Impact Practices (HIPs), https://www.bsu.edu/about/administrativeoffices/vice-provost/student-services/high-impact-practices. The key elements of HIPs include the following: to first ensure that performance expectations are set at a high level; to understand that HIPs require a significant investment of time and effort by students over an extended period of time, including interactions with faculty and peers about substantive matters; to include experiences with diverse student populations. In addition students must receive frequent, timely, and constructive feedback. Periodic, structured opportunities to reflect and integrate learning must be embedded in courses, and opportunities to discover the relevance of learning through real-world applications must be included. Finally, HIPs must ensure public demonstrations of competence. Several initiatives at different stages of implementation are underway and include the following:

- First-year seminars and experiences
- Common intellectual experiences
- Learning communities
- Writing-intensives courses

- Collaborative assignments and projects
- Undergraduate research
- Diversity/global learning; study abroad/away
- Service learning, community-based learning
- Internships
- Capstone courses and projects
- E-portfolios.

These initiatives are measurable and are already demonstrating results that matter to the core mission of the university and are aligned with strategic imperatives outlined in the university's strategic plan. Further HIPs have been defined, attributed in Banner, implemented in identified courses, and have an assessment of student learning outcomes embedded in each course. This initiative was started in the Fall of 2021 as the university started to return from the pandemic ,and thus far over 13,000 students have had a HIPs experience. Observations of students who have had a HIPs experience include higher retention, persistence, graduation rates, higher GPAs, greater appreciation for diversity, deeper self-reported learning gains, improved self-efficacy, and sense of belonging. Although these efforts are still in their infancy, for the students I interviewed who persisted through graduation, each of their experiences include one or more of the HIPs listed above. Specifically, Rashida was engaged in several service learning community-based opportunities; she took on leadership opportunities with the Black Student Association, Women and Men of Color student group, the Delta Sigma Gamma honor society for public health and was president of Delta Psi. For Gabrielle, her HIP included living in the honors learning community, participating in the Economics Club, and undergraduate research. The two students who did not complete college reported having none of these experiences.

As universities struggle to retain students, it's clear from the sample of interviews presented here, that knowing you're a part of a caring community made a difference in the experiences of those students who persisted to graduation. Clearly defined and well-implemented HIPs provides a promising area for continued exploration if we are to close the gap for students of color and first-generation students.

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Redesigning Higher Education Around Student Success

Dr. Bridget Burns

There are a significant number of barriers to college completion and student success, but most are merely a symptom of a singular underlying problem: higher education was never designed around students. This design failure shows up daily in systems and processes that students struggle to navigate. Isomorphism explains some of these persistent design challenges showing up in the lives of students across every sector or institutional type, and it also represents the greatest hope to address this issue. If higher education was never designed around students, and the solution is to center students (across various identities) in the design of the institution, the isomorphic design of institutions means that campuses can join forces to engage in this redesign work together rather than going it alone.

This essay will outline a specific change management strategy to address institutional redesign to improve student success for institutions navigating the complexity of managing and leading in a "post-Covid" workforce climate. The author will identify the key underlying design, cultural, and systemic issues contributing to the current state of national student outcomes for low-income and first-generation students and students of color, as well as provide solutions, recommendations, and a broader change management approach designed to support sustainable campus improvement that also represents a solution for the burnout epidemic facing administrators and staff in higher education.

Every student who enrolls in college should graduate with a degree or credential that positions them for social mobility, career success, and productive citizenship. This is not a revolutionary concept, but it is far from reality. Too many students who start college never finish. Completion rates today are only modestly better than they were forty years ago, while racial and socioeconomic gaps persist. In the 1970s, six out of every one hundred low-income students earned a bachelor's degree. Fifty years later, that rate is around 12 percent. But for high-income populations, the attainment rate has doubled (Edsall 2012).

There are a number of barriers to college completion and student success, but most are a symptom of a single underlying problem: higher education was never designed around students.

The original model of higher education centered on the faculty (Rudolf 1990), but college design today is less intentional and more a collection of responses to externally imposed administrative requests and demands. This design failure shows up daily in systems and processes that students struggle to navigate.

Isomorphism—the similarity in structure between higher education institutions—explains some of this persistent design challenge, and it also represents the greatest hope to fix the problem (Cardona Mejia, Pardo del Val, Dasi Coscollar 2020). If higher education was never designed around students, and the solution is to center students (across various identities) in the design of the institution, it is likely that solutions that work in one institution can be modified or adapted to work in another, and campuses can collaborate to engage in this redesign work together rather than going it alone.

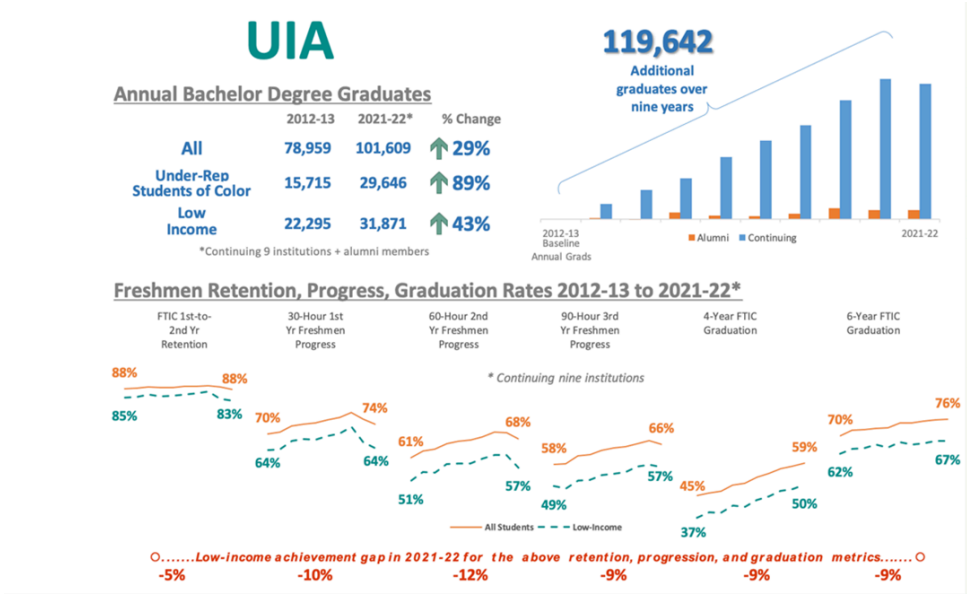
Institutional redesign is closely linked to innovation. Reorienting universities around students requires innovative mind-sets, practices, and habits, including a willingness to take many chances on improving the student experience knowing that a significant number of them will fail. Turning failure into an acceptable learning process can be enhanced by collaboration among universities—if institutions are willing to try new things together, the stigma of failure will be reduced while the benefits of success can be magnified.

These concepts are more than theoretical. For the past decade, a group of public research universities has worked together under the banner of the University Innovation Alliance (UIA) to develop, scale, and share innovations with promising potential to improve student success rates by redesigning university processes from a student perspective. In 2014, the UIA founding member universities committed to five core goals:

- dramatically increase the number of college graduates each university produces;
- produce far more low-income graduates;
- innovate together;
- hold down costs;
- and eliminate the disparity in outcomes across student populations.

Through 2023, the founding UIA institutions had already graduated 119,642 additional students (beyond their stretch capacity at the time of founding), increased graduates of color annually by 89 percent, and increased low-income graduates annually by 43 percent.

Below is the annual data report for the University Innovation Alliance produced in June 2023 by the UIA's external evaluator, Postsecondary Analytics.



ANNUAL BACHELOR'S DEGREES AWARDED
UIA COMPARED TO IVY LEAGUE AND TOP 50 LIBERAL ARTS SCHOOLS

	UIA	Ivy League	Top 50 Liberal Arts
Number of undergraduates	472,078	63,012	101,872
Number of annual bachelor's degree awards	105,368	15,169	24,138
Number of Pell grant students	147,714	10,895	18,156
Percent of students receiving Pell	32%	16%	17%
Number of applicants not admitted	126,744	277,701	259,579

Data Notes:
- *Enrollment data is the most recently available IPEDS fall 2018 data*
- *Degree awards for 2017-18 (first major count)*
- *Fall 2017 undergraduate students receiving Pell anytime in the 2017-18 year*
- *Ivy schools include Brown, Columbia, Cornell, Dartmouth, Harvard, Princeton, UPenn, Yale (8 institutions)*
- *Top Liberal Arts include the US News 2020 National Liberal Arts top 50 ranked schools excluding military academies (53 schools total due to ties) as of Oct 2019*

Along the way, including through the pandemic, the UIA has learned lessons about high-impact collaborative innovation, how to effectively leverage and share learning from failure, and how to redesign institutions around the needs of students. New challenges constantly emerge, but UIA campuses have developed habits that allow them to keep making progress toward enrollment and completion goals, particularly for students of color and low-income and first-generation students. This chapter shares some of those insights as well as my perspective gleaned from working with institutions across the country.

Poor Design Holds Back Student Success

The process starts with understanding why higher education has struggled to help more students graduate. At the most fundamental level, it comes down to poor design—or at least, a design that is poorly suited to today's students, who live in a world in which nearly every consumer-facing product is designed with the user experience in mind. Most

people have experienced or grown accustomed to better user interfaces. From Uber to DoorDash to Netflix and even banks, services today are designed to be navigated easily and provide results tailor-made for consumers.

Compare the user-centered experience of these well-known companies to the experience of a first-generation or low-income college student. Most arrive on campus with high expectations that the university will direct them to good outcomes. Yet they soon discover how difficult it is to receive adequate direction. No one steps forward to answer questions like: When do you meet with an academic advisor? How do you reconcile a financial aid hold? How do you know—before it's too late—if you're on track or off track? Administrators with decades of experience in university processes may think the path is clear, but complex structures and coded language create barriers for students and make them feel unwelcome. Unfortunately, poor design has persisted because the historic culture of higher education places the blame for any failure on the shoulders of the student rather than seeing design flaws for what they are (Burns 2023).

Collaborative Student-Centered Redesign Is the Answer

To fix this situation and help more students graduate, universities need to change. But of course, change is difficult for any organization, and especially for complex bureaucratic organizations with massive multi-billion-dollar footprints. Universities were designed to last, not to change. Therefore, it is my recommendation that in order to achieve the changes needed to better serve students and position institutions to thrive in the future, they should work together.

Collaboration is not always an easy path for organizations, especially ones existing in a competitive environment with different cultures, identities, and leadership. At the same time, it's nearly impossible for universities to sustain organizational change unless a visionary and powerful president or chancellor remains on the job long enough to outlast those who are resistant to change within their organization. These leaders exist, but they're rare; the average presidency is now just 5.9 years, according to the American Council on Education (Jesse, 2023). To help overcome the tendency for innovation to flag when an individual leader leaves an institution, universities should collaborate with each other, building infrastructure and momentum for student-centered innovation that can last through multiple administrations on any particular campus.

When to Collaborate and with Whom

Not all collaboration is created equal in higher education. There are many experiences dubbed "collaboration" that merely represent additional unpaid work that is expected of the collaboration partners and ends up being far more difficult than working alone. What I'm proposing is an authentic collaboration that is sustained over time, adds relatively equal value to all partners, and achieves significant change or impact. Smart, well-directed collaboration typically needs a spur. At the UIA, we've determined that the most effective collaboration happens for three reasons: (1) there is a shared problem that does not have a solution, and all partners want to find a solution; (2) there is a big goal that all parties aspire to, yet none of them can accomplish that goal alone; and (3) the partners in the collaboration are advancing a shared vision that they develop and refine together—no institution should feel pressured to participate by funders, associations, or other outside entities.

How do you find presidents and chancellors who meet these criteria and are eager to collaborate? Look for those who are signaling a shared sense of frustration with a problem you want to solve, or are talking about an objective you care about. Then start with smaller conversations among select groups. At national meetings and conferences, you'll likely find that the best conversations with potential allies happen away from the main stage, in the hallway, at dinners, or in places where a microphone is not present. Presidents are rarely able to be candid until they know and trust each other, and those relationships are best built over time.

The UIA was formed when the New America Foundation's Next Generation Universities report signaled potential shared interests among the six institutions profiled (Selingo, Fishman, Palmer, and Carey 2013). Each was noted for its commitment to expanding access and improving outcomes for students while also pursuing world-class research. Using the Next Generation Universities list as a kick start, Arizona State University President Michael Crow invited a small group of presidents to a side meeting at another event to discuss what they might do together for the future of the United States. The report served as a signal of shared interests and spurred President Crow to follow up with a discussion among a small select group of like-minded leaders to determine where there was potential for collaboration—and the UIA was born. There are many ways to identify potential partners for student success redesign work—for instance, other campuses using the same technology partners your campus uses, or small affinity groups formed at association meetings. The important thing is to identify common bonds and goals and start to build the trust required for effective collaboration one conversation at a time. Once all the partners have agreed on a basic premise, start with a small project or collaboration to test the waters and determine if your vision and values are as aligned as you initially supposed.

Innovating for Twenty-First-Century Students

Organizational change is difficult work, but collaboration is an effective vehicle to build momentum, hold your institution accountable, and hopefully save time and money along the way. The organizational change work higher education urgently needs institutions to embark upon is that which enables campuses to redesign their systems and student-facing processes around the needs of today's students.

The traditional eighteen- to twenty-two-year-old student isn't necessarily the norm, especially at public universities. Demographic trends show this population shrinking. Meanwhile, for the first time in US history, low-income students are the majority in public K-12 schools, resulting in a pipeline of potential students coming from a low-income background (Layton, 2015; Southern Education Foundation, 2015). Reimagining education for people who are adults, parents, caregivers, transfer students, full-time workers, low-income, first-generation, and students of color is an ideal place for collaborative efforts between colleges, because of the universality of the challenge, and the historic universality of our sector's failure to serve these students well.

Beyond demographics, other factors about students, and about their expectations of higher education, are changing. The students of today and the future will be the most sensitive to bad design of any generation that's come before. As a result, they're less likely to tolerate a poorly designed education experience. If something isn't working for them, such as a mystifying advising and registration process or an incomprehensible financial aid package, they will

clearly get the message that the university isn't committed to their success and they may look for better options elsewhere—perhaps outside of traditional higher ed altogether.

Finally, more students will be looking for options beyond traditional degree programs. Whether certifications or accelerated programs, students who are older, more career-focused, and pressed for time will be seeking credentials that provide tangible, career-enhancing skills that can be completed as flexibly as possible, perhaps even as they weave in and out of higher education over many years. Institutions should be constantly listening and innovating to provide the skills, competencies, certificates, and badges students want. This is fundamental to serving and supporting learners at every stage of their life.

Steps to Advance Student-Centered Learning

Many university leaders, especially new leaders, want to instill a more innovative, problem-solving culture among their team but don't know where to start. Your team needs more guidance, but you're understandably busy doing your own overwhelming job and can't provide constant direction. The following steps grew out of my accumulated experience with the UIA and can help you point your team in the right direction.

Steps to scale:

- Find an example you can learn from. Look to universities that have solved similar challenges and find out how they approached the work.
- Find a guide or mentor you can learn from.
- Determine where you are starting from.
- Be intentional about educating everyone at your campus about what you are trying to do. Do not limit the learning to a small group of people who will be doing the work—they will at some point need friends and allies, and many of them will transition.
- Be intentional about ensuring that the journey the campus is on is not just known about or owned by a select group.
- Form a cross-functional team that includes a variety of thinkers, doers, and people who will impact the change.
- Staff the team with a project manager or equivalent to ensure the work happens between meetings.
- Be intentional about meeting agendas to ensure they are high-impact and bring significant value to everyone who attends. The focus should be very high level and there should be a dashboard or data points the group is constantly monitoring.
- Be intentional about the kinds of habits that will help the team or campus be successful: a weigh-in, annual reporting, and meaningful connection-building experiences.
- Backward plan where you want to be in six months, a year, or two years.
- Start by process mapping in a community environment to get everyone on the same page about the area you are working on.
- Once you see the challenges, you will identify some low-hanging fruit associated with the process or topic.
- Take action on the low-hanging fruit and be explicit that this is connected to what you are scaling so people feel good about the experience and start to associate this work with action and fulfillment.
- Create a calendar of the additional areas to take action on in the coming months, and be sure to celebrate victories along the way and share about the courage and bravery of those doing the work.

- Spread the love and celebrate those who contributed. The more people shine a light on the work of others, the more they keep coming back for more, and this type of activity gets the reputation for being one that gives satisfaction and opportunity.

Solutions: Designing a Student-Centered Innovation Process

Redesigning higher education to promote student success will require subtle culture change and shifts to normalize a consistent focus on capturing empathy and learning from the lived experience of today's students, coupled with consistent design experiences that enable professionals to walk through the actual systems and processes students are wading through. The early steps are low cost and will make the most difference in the long term for your campus, but the challenge is instilling consistency of practice and orienting your culture toward becoming a learning organization rather than merely being focused on efficiency.

The following steps are essential and underlie every broader complex innovation solution referenced afterward:

1. *Empathy sprints*: Empathy is the first step of design. Attend any experience hosted by the Stanford d. School and you will hear this mantra over and over. You cannot create good experiences and solutions for someone you do not understand. Employees should be expected to speak to at least one or two students in the week prior to coming to a meeting with leadership. There should be a portion of the agenda where people go around and share what they learned that surprised them, or share the specific topics they heard students offer commentary on. This cannot just be a one-time thing. It needs to become a part of who you are as an organization—you are now a university that is curious and wants to hear from students themselves rather than relying on data and observations offered secondhand.
2. *Process mapping sessions:* An effective, action-oriented way to bring together everyone working on a problem is to engage in an exercise called process mapping, which entails going through all the steps a student must take to successfully navigate a university process. Process mapping is a simple activity with limited cost, but leaves any organization with a better understanding of the user experience and enables groups of people to see the system failures and process hurdles more clearly than they can in their day-to-day roles (Aljets and Burns 2018). The humble sticky-note is vital to process mapping and turns out to be one of the most powerful innovation tools at our disposal. Everyone on the process mapping team writes out on sticky-notes the touchpoints a student has with their office. Detail is key. Every interaction should be surfaced. The sticky-notes help visualize the process and illuminate how many different steps a student must take to get from point A to point B. The new map replaces the administration's vision of how a process works with the student's experience of how it works—and it's always revealing.One example of process mapping I frequently cite comes from Michigan State University (MSU). After attending the first convening of the UIA hosted at Georgia State University (GSU) where GSU administrators talked about their experiences with process mapping, the MSU team put the idea to work. They were concerned that they were sending newly admitted students an overwhelming number of

emails between admission and arrival on campus. By bringing together various offices responsible for communicating with new students and using sticky-notes to log all the emails they were sending, they soon discovered that a newly enrolled student could receive as many as 450 emails from the university by the time they got to campus. New students—particularly first-generation or low-income students with limited support networks—would have little way to prioritize which were most important and which could wait until later. Identifying these challenges created clarity, and alignment, and elevated new topics for further refinement, review, and improvement across the institution (Aljets and Burns, 2018).In just one exercise, administrators were able to identify a challenge and craft a solution to help students engage more easily with the institution. Furthermore, they did so in a way that brought connection and purpose to administrators ("We are solving an actual problem!"). It's a process that can be repeated again and again, seeking student input as often as possible. Leaders can also signal their approval and encourage progress and proper mind-set by asking at the end of each exercise, "What did we learn?" Focusing on learning destigmatized whatever problems were revealed. What's important now is how to innovate and improve.

3. *Clarify and prioritize your challenges:* Pursue innovations and solutions that address the problems on your campus. Do not pursue innovation for innovation's sake. Whatever challenge you aim to address, this is a moment in time where there are many important and effective solutions worth embracing, and regardless of an institution's funding, governance structure, state policies, or leadership, there are specific low-cost actions universities can take to cultivate greater empathy, problem recognition, and diagnosis to improve outcomes for students.
4. *Set ambitious but realistic goals, and establish a scoreboard and cadence for assessment*: Many campuses struggle to make progress for an array of reasons, but one aspect rarely missing from successful efforts is a clear goal that is set by the organization and consistently reiterated as a north star, coupled with a consistent habit of revisiting and reviewing progress toward that goal. When reviewing progress, ensure that the goal you are working on is treated separately and not one of fifty metrics being reviewed at the same time as you look at research numbers, athletic outcomes, budget formulas, and any other area you might also be working to improve. The conversation about improvement needs to enable a level of focus that is difficult when the conversation is crowded by unrelated topics.

In 2014, UIA campuses set individual campus goals that were combined into a collective ten-year goal that was announced by President Obama at the 2014 White House College Opportunity Summit: we were committed to producing 68,000 more graduates than our current and stretch capacity at the time, and at least half of those additional graduates were going to be from low-income students by 2025 (Obama 2014). Although this goal was ambitious for us at the time, the more important aspect was that it was set by each campus leader and not imposed upon them. Conversely, there are many examples of state and institutional goals that were not set by the people leading the work, and there can be a lack of buy-in toward that goal which results in less likelihood of success. At the UIA, our measures may be imperfect, but we use them consistently and intentionally. We review our collective data one time per year and always in the same format, focusing on the measures agreed upon by the campuses: student outcomes across income and race at the 30-, 60-, and 90-credit-hour threshold. We are focusing on equity gaps and progress for improvement in addition to annually capturing graduation data. Whatever your goal, make sure you create a consistent dashboard you review and reflect upon to make consistent progress.

Insights from UIA Collaborations

UIA members have collaborated on a series of demonstration projects designed to make each campus more student centered and remove specific barriers students face. Areas of focus have included predictive analytics, proactive advising, financial aid, career readiness, and academic recovery. In each, UIA campuses advanced innovations that can keep students enrolled and on the path to graduation.

For instance, by using predictive analytics and proactive advising, UIA members gained greater insight into which courses gave students the greatest difficulty, and where students went off track in their progression toward a degree. The data produced rich insights into the student experience, revealing which students were struggling, the courses most likely to stymie a particular student, the most challenging instructional modality for that student, and even the time of day a student is most likely to struggle in class.

Insights derived from predictive analytics can be integrated with other university systems, such as course scheduling and academic advising. In this way, the university can be more responsive to student needs at the macro level—for instance, by anticipating which courses large numbers of students will need to take and scheduling classes at the times students need to take them—and at the micro level—for instance, by spurring proactive communications with students to ensure they're accessing the resources they need to schedule and succeed in the classes they need to progress and graduate. In the UIA's project, academic advisors were equipped with data derived from predictive analytics, allowing them to proactively reach out to students through a series of automated and personalized prompts, helping the students avoid falling behind in their degree programs and guiding them back on course (or toward a different path). Furthermore, when advisors know a student has struggled, or is likely to struggle, in a particular class, they can connect the student with additional wraparound services to make successful course completion more likely.

The UIA's financial aid innovation involved providing completion grants—small (less than $1,000) financial awards that allowed students who were close to graduation to remain enrolled, finish their required coursework, and graduate rather than disenroll close to the finish line due to financial hardship. While implementing the completion grant project, UIA members gained greater insight into the variety of financial holds placed by offices across campuses for such minor issues as overdue library fees and parking fines. On many campuses, these hold categories were rarely reviewed and had proliferated over time to number in the dozens—each a potentially unnecessary obstacle to student success. Simply shining a light on this reality helped campuses initiate processes to review and remove these financial hurdles.

The UIA's career readiness work revealed a key insight across multiple universities: The only place all students go is to the classroom, so career preparation should be integrated into the classroom, not simply offered as a standalone, separate function students are expected to pursue outside of class. Faculty should be equipped with career readiness expertise and support. For instance, career readiness personnel can offer suggestions for how faculty can integrate career readiness into classroom work. Furthermore, career readiness needs to start on day 1, not in junior or senior year. It's important to help students think early and often about how their classroom learning can be leveraged to support their career aspirations. And students should be given more opportunities to experience potential careers through internships and related work—preferably paid internships to overcome equity challenges.

At root, each of these interventions and adjustments requires centering and prioritizing students' needs in everything the university does. At a time when we are thinking more deeply than ever about how to ensure students' social and emotional well-being—in addition to their academic success—knowing the university has their back and wants them to succeed can be a great relief to students. Whatever else may be going on in a student's life, alleviating the fear of academic failure or financial struggle, and equipping students with the tools to succeed in the classroom and prepare for a successful career after graduation can ease mental burdens and help students feel more empowered to control their college experience.

What Gets in the Way of Progress

There are several obstacles that get in the way of innovation, delay change, and impede progress on closing achievement gaps. Currently, the biggest impediment to change and innovation is turnover and transition, as well as our lack of planning for either. The constant shuffle without any plan for sustainability means institutions stop and start efforts and waste energy with limited progress. This can be overcome with a consistent cultural practice of co-captains for every project, initiative, and strategy, and by designing around turnover as a feature of the system, not a bug.

In addition, higher education's persistent bias toward quantitative data over qualitative data and the lack of a singular office or role tasked with the sole purpose of listening to the challenges students face contribute to the lack of empathy required to engage in systemic change. Addressing student success challenges and growing equity gaps requires institutions to recognize that student identities and experiences are not a monolith; instead, the institution needs to engage in specific practices to support a greater understanding of the complexity and nuance of the needs of different student populations.

Universities also need to take a hard look at what they expect from the people who work in higher ed. Capacity deficits and burnout are major challenges confronting university staff. Administrator fatigue has been building for many years. Paperwork burdens have proliferated as boards, presidents, accreditors, legislators, and others require reporting on a plethora of issues, only some of which may feel particularly meaningful or useful. Time and resources have not kept pace. Higher education as a field suffers from the mistaken assumption that if we give an administrator a new task, their plate will expand to accommodate it.

The result is that work and committees tend to be task-oriented rather than goal-oriented. There is little unstructured time for individuals or action-oriented teams to generate new ideas or a game plan how to move a good idea forward—both critical to innovation. The pandemic added stresses, including, of course, the existential stress of living through a major health crisis, but also the small daily stresses of reduced human interaction, to which Zoom calls were a very imperfect remedy. The literature—and years of experience—suggests that for people to thrive at their work they need community, purpose, and inspiration (Moss 2021). All three have been in short supply in recent years. Making real progress on student success outcomes requires a changed management approach intentionally designed to overcome transition, turnover, and burnout.

Conclusion

Advancing student-centered innovation will require strong leadership with a clear vision and direction repeated consistently. A key message should be that iteration and failure are okay. Not every idea has to be fully vetted before moving forward, but it should be informed by student input and seek to solve actual problems students are confronting. When an idea doesn't pan out, it shouldn't be hidden; it should be discussed and studied to surface lessons that can be applied to the next iteration—or to a completely different problem.

In addition to fueling innovation, being honest about failure also opens the door to genuine collaboration with other universities. The University Innovation Alliance has found that the key to collaboration between institutions is not comparing peaks, but sharing valleys. Because of isomorphism, most institutions are grappling with similar problems, particularly when it comes to student success—and most leaders and administrators are hungry for solutions.

Fortunately, isomorphism also makes it easier to transfer successful ideas from one campus to another. Innovation isn't a cut-and-paste endeavor, but rather an understand-and-adapt process of taking an intervention that has worked in one place and shifting it to work within your structure and systems. Acknowledging common failures across institutions will help build the community that makes common success possible. Clearing away the stigma around failure and overcoming the idea that all good ideas must originate at your own institution will make it possible to adopt innovative practices and innovative touchstones from other places and put more innovation shots on goal, which is vital to generating innovation wins.

In addition to benefiting students, innovating to improve the student experience can bring community, purpose, and inspiration back to the people working at the university. Effective innovation processes require people to engage in community-oriented activities. Innovation itself provides purpose as people work together toward a common improvement goal. And the idea of helping students succeed is what inspired most people to work in higher education in the first place.

The key is to break out of old habits. Because innovation is new work, universities shouldn't feel bound to approach it the same way they've approached projects in the past. Innovation can and should be pursued in ways that promote collaboration, acceptance of failure, meaningful engagement with other universities, and community, purpose, and inspiration for the people working on it. While innovation in a large institution isn't easy, it is deeply rewarding—especially when the beneficiaries are students who finally see that the university is working with them to help them achieve their college and life goals.

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Chapter 6. The Learning Process

Dr. Ed Ray

Chapter Overview

Mark Twain is reported to have observed that the traditional lecture is a process by which the notes of the lecturer are reproduced in the notes of the students without ever having passed through either of their brains. The development of the flipped classroom, hybrid courses using in-person and online material, and online instruction (which has improved greatly in recent years in terms of both technology and pedagogy) has substantially improved the learning environment and access to it. How can we provide new and continuing faculty with the pedagogical tools to be effective teachers today and in the future? How can institutions most effectively support the teaching and research activities of fixed-term, unionized, and tenure-track faculty, who are often working together?

For place-bound and distant students, online education is a twenty-first-century extension of the land-grant mission. The potential to use online student services to enhance the availability of needed services to students who are on campus in a more timely way is largely untapped. Best practices should be developed and shared to adapt new technologies to increase student success through graduation.

- Traditional, hybrid, and online learning.

Under what circumstances are traditional, hybrid, and strictly online course and service offerings most effective for successful student learning?

- Using online technology to enhance student learning, collaborative research, and student, staff, and faculty services, how will we most effectively teach, do creative work, conduct research, and collaborate within and across institutions in a post-COVID world?

Toward a Platform for Universal Learning

Dr. Michael M. Crow; Dr. William B. Dabars; and Dr. Derrick M. Anderson

Admissions protocols observed by leading colleges and universities, both public and private, increasingly favor students from the topmost quintiles of family income, which precludes the admission of countless academically qualified but socioeconomically disadvantaged applicants. As a consequence, undergraduate education is generally equated with the experiences of successive cohorts of eighteen- to twenty-four-year-olds from privileged backgrounds who enjoy the prerogative to explore a variety of majors within the context of a comprehensive liberal arts foundation. However, because mere access to standardized forms of instruction decoupled from knowledge production will not deliver desired social outcomes, our nation's public research universities have an obligation to broaden access to research-pedagogical education at scales with significant social impact. New technological modalities must accommodate learners of all ages from all socioeconomic levels. The advent of scalable online educational technologies that support personalized learning empowers learners of all ages. In a knowledge economy in which technological innovation catalyzes opportunities, only those who possess relevant knowledge and skills will be able to compete. Accordingly, Arizona State University is advancing a pedagogical model based on a term that we have trademarked: *universal learning*. To honor the spirit of this inclusive aspiration, we are constructing a platform for universal learning that extends the transformational technological and social advances pioneered at our nation's universities over the past four centuries to learners from all socioeconomic backgrounds throughout their lives.

Higher education in the United States has historically been equated with the pattern of successive cohorts of eighteen- to twenty-four-year-old undergraduates who enroll in college immediately following high school graduation. These rotating populations, which only since 1970 have included progressively more women and previously underrepresented minorities (Brint 2018), enjoy the prerogative of exploring an array of majors while enrolled full-time on residential campuses in classes taught by faculty members who actively produce knowledge in their respective fields. Not all colleges and universities are alike, however, and for the past several decades, in any event, this idealized profile has increasingly become the "exception rather than the rule" (Choy 2002; Horn 1996; Radford, Cominole, and Skomsvold, 2015).

Among other factors, inequitable admissions practices, unsatisfactory completion rates, and declining returns on investment are forcing stakeholders to reconsider who should attend college as well as the purposes and ends of higher education itself. Arizona State University, one of our nation's youngest but nevertheless one of the largest major public research universities, has pursued three interrelated models over the past two decades that evince the potential to redesign the structure of American higher education. We propose that large-scale public research universities

that ground the education of students in the liberal arts and funded research differentially adapt appropriate precepts from the New American University, Fifth Wave, and Universal Learning models to advance teaching, research, and the needs of the communities that they serve. [1]

Overcoming Structural Limitations in American Higher Education

Among the roughly 3.5 million American high school seniors who graduate each spring, the intent to enroll in college is nearly unanimous, but only one-fifth will graduate with a four-year degree (Cass 2018). Completion of a bachelor's degree—graduation as opposed to enrollment and attendance—is demonstrably the "single most important indicator of educational attainment" (Bowen, Chingos, and McPherson 2019). Graduating with a four-year degree promotes the private and social benefits that a college education confers (McMahon 2009). However, although more than one-third of Americans have completed a bachelor's degree, 36 million have attended college without completing their degrees (Shapiro et al. 2019) and, to make matters worse, are often burdened with crippling student loans.

Nearly two-thirds of recent high school graduates are now enrolled in college at some level, including community colleges and for-profit institutions (Bureau of Labor Statistics 2022). But for students seeking degrees, not all colleges and universities are equivalent. Since 1970, an increasing proportion of undergraduates have enrolled in less selective second-tier institutions or nonselective community colleges or vocational schools (Roksa at el. 2007), the outcome of a process of hierarchical differentiation known as "vertical institutional segmentation or stratification" (Cantwell and Marginson 2018). Students who enroll in second-tier schools that offer standardized instruction are less likely to graduate than those who enroll in research-based colleges and universities that ground education in the liberal arts and funded research (Hoxby and Avery 2013). As we have written elsewhere, inferring that all bachelor's degrees are equivalent is false. Mere access to standardized forms of instruction will not deliver desired democratic outcomes. Nor is narrowly focused vocational or technical training sufficient to prepare graduates for future cognitive challenges and workplace complexities (Crow and Dabars 2020).

Admissions protocols favored by selective colleges and universities have increasingly favored applicants from privileged backgrounds to the exclusion of academically qualified middle-class and socioeconomically disadvantaged applicants (Brint 2018; Chetty et al. 2017; Crow and Dabars 2015, 2020; Mandery 2022). Although most selective schools seek to recruit socioeconomically disadvantaged students, the scale of these efforts is not commensurate with the need, and offers of admission correlate most strongly with socioeconomic status of students as captured, for instance, by zip code. Consequently, reduced accessibility to advanced educational attainment exacerbates social inequality and stifles intergenerational socioeconomic mobility.

Many potential applicants, however, are unwilling or unable to uproot their lives to attend residential colleges and universities because they are bound to remote geographical locations by necessity or preference. In contrast to less encumbered students, certain learners cannot participate in classes in person due to personal obligations. Furthermore, potential learners who want or need to build skills, pursue training opportunities, or seek advanced education increasingly come from older or diverse demographic backgrounds, including veterans or the disabled. If individuals are to succeed in an era when knowledge correlates with prosperity and well-being—and if the nation is to remain

competitive in the globalized knowledge economy—millions more Americans will need to access advanced levels of education.

Universal Learning

To overcome the structural limitations of American higher education, colleges and universities need to differentially extend the transformational pedagogical and technological advances pioneered over recent decades to learners from all socioeconomic backgrounds throughout their lives. Although wealthy schools should use their robust resources to explore alternative models that leverage synergies between knowledge production and pedagogy as well as to expand access, it is especially incumbent on large public research universities to increase their efforts to counter the consequences of inequitable admissions practices, inadequate academic preparation, and soaring tuition costs by helping all learners as well as society to derive the democratic spillover benefits of higher education (McMahon 2009). Since aggregate enrollment capacity is scalable, a subset of these universities may simultaneously bolster both research and educational outcomes (Taylor et al. 2021) as well as help meet the workforce demands of the emerging economy.

Educating students from the top 5 or 10 percent of their high school classes represents the baseline obligation of our leading colleges and universities. For a subset of large-scale public research universities that are committed to negotiating the tension between academic excellence and broad accessibility (Bowen, Kurzweil, and Tobin 2005; Calhoun 2006), the more consequential challenge is to differentially educate to internationally competitive standards of achievement the top quarter or third of traditional undergraduates, i.e., successive cohorts of eighteen- to twenty-four-year-olds, as well as to provide opportunities for lifelong learning to more than half the population of the United States (Crow and Dabars 2020, 10, 66–67, 425–426).

The Universal Learning Model

The Universal Learning model enables large-scale public research universities to accommodate two groups of learners: (1) traditional on-campus immersion students consisting primarily of successive cohorts of primarily eighteen- to twenty-four-year-olds who will increasingly come from diverse socioeconomic and demographic backgrounds to enroll in undergraduate academic programs based on funded research that is grounded in the liberal arts; and (2) everyone else, including all possible demographics of learners who would benefit from advanced education and training, especially the 36 million Americans who have attended college without completing their degrees (Crow, Dabars, and Anderson 2024).

Redesigning research universities will require innovative institutional models that creatively use learning technologies to cooperate rather than compete with other universities, which will help them form strategic partnerships with business and industry, government agencies, and civil society organizations such as churches and non-governmental organizations. The Universal Learning model represents an innovative paradigm for large-scale public research universities that focuses on excellence, access, and impact. Of course, scale and accessibility are by no means the sole challenges confronting American colleges and universities, nor are they the exclusive dimension of the Universal Learning

model. Consideration of the critical roles of the research university in discovery and innovation, graduate and professional education, and social engagement lies outside the scope of this chapter.

The Universal Learning model is based on a term that Arizona State University has trademarked: "universal learner." To advance toward this model, ASU is creating an innovative platform that extends the transformational technological and social advances pioneered at our nation's universities over the past century. Because traditional on-campus immersion grounded in the liberal arts and sciences is available only to a small number of students, universal learning modalities must accommodate multiple student-centric approaches that are accessible to learners of all ages and socioeconomic backgrounds throughout their lives. As we contend in a forthcoming book, to meet these challenges a subset of public research universities should assume broader mandates by redefining their structures as differential platforms for universal learning. This would "enable qualified students within their communities, regardless of socioeconomic status or life situation, to acquire the knowledge and skills needed to achieve their goals by empowering them to freely shape their intellectual development and self-determined creative and professional pursuits" (Crow, Dabars, and Anderson 2024).

Inherent limitations in the designs of colleges and universities that were not designed to facilitate broad accessibility coupled with disinvestment in higher education by state legislatures (Mitchell, Leachman, and Masterson 2017) have increasingly shifted responsibility and costs for educational attainment to students and their families. The advent of scalable online educational technologies that support personalized learning empowers learners of all ages. In a knowledge economy that catalyzes technologically innovative opportunities, only those who possess relevant knowledge and skills will be able to compete. Moreover, consistently executed, broadly accessible, and scalable digital platforms will not only supplement but for many may replace the traditional undergraduate experience of immersion learning within residential campuses. To meet these challenges, ASU is acquiring or developing the technology and expertise to redesign online education. In addition, ASU is developing effective learning modalities such as Dreamscape Learn, a virtual learning environment that combines innovative pedagogical and technological advances that appeal to the emotions of students to extend the benefits of in-person learning.

The New American University and Fifth Wave Models

To set the stage for the Universal Learning model, ASU has reconceptualized its operations under the New American University model over the past two decades by demonstrating that large public research universities can manage the tensions between broad accessibility and academic excellence to achieve maximum societal impact (Crow and Dabars 2015). Informed by the social embeddedness of the land-grant university system, the model couples with single institutions the research excellence of the University of California system with the educational accessibility offered by the Cal State system. While America's leading universities, both public and private, have become increasingly selective and costly, ASU admits all academically qualified Arizona residents regardless of financial need. In so doing, ASU advances socioeconomic mobility and prepares students for the competitive global knowledge economy.

The subsequently conceived Fifth Wave model extends the objectives of the New American University model by envisioning the emergence of a subset, or league, of similarly committed public research universities that differentially maintain world-class research profiles while expanding opportunities for learning within the communities that they

serve. Potential institutional peers in this context include Purdue University, Pennsylvania State University, and the University System of Maryland. To promote broad accessibility, ASU led the effort to form the University Innovation Alliance (UIA) in 2014, a collaboration among eleven major research universities that collectively enroll nearly half a million students. Alliance members promote educational attainment, especially among historically underrepresented and socioeconomically disadvantaged students (Crow and Dabars 2020, 19, 185–189).

As delineated in two comprehensive case studies (Crow and Dabars 2015, 240–303; 2020, 98–203), the reconceptualization of ASU represents transformational change: "Whereas routine change involves incremental evolution in response to external stimulation according to a university's existing institutional momentum, transformational change involves radical pursuit of design-specified aspirations that redefine the why, what, and how of a university's operations" (Crow and Anderson 2022). To understand the premises of the Universal Learning model, it is important to appreciate the scope and scale of the underlying design processes of the New American University and Fifth Wave models. The university's first charter, adopted in 2014, succinctly premises the redesign of ASU on an overarching commitment to societal responsibility: "Arizona State University is a comprehensive public research university, measured not by whom it excludes, but by whom it includes and how they succeed; advancing research and discovery of public value; and assuming fundamental responsibility for the economic, social, cultural, and overall health of the communities it serves."

The initial imperative to redesign ASU was based on the need to respond to demographic challenges that plagued Arizona (Grawe 2018) such as "lagging educational attainment, lackluster economic output, and an unprecedented shift in the regional demographic profile from the sole comprehensive research university in a metropolitan region projected to double in population by midcentury" (Crow et al. 2004). The scope and scale of the redesign was initially motivated by the intent to improve the accessibility, academic performance, and research output of one of the nation's youngest but largest public research universities. The set of interrelated and interdependent design aspirations introduced in the foundational white paper sought to guide the administrative and academic communities at ASU to co-develop "solutions to the critical social, technical, cultural, and environmental issues facing twenty-first-century Arizona" (Crow et al. 2004) despite multiple and often contradictory institutional logics (Thornton and Ocasio 2008), such as the academic, bureaucratic, market, and entrepreneurial (Crow, Whitman, and Anderson 2019).

The design aspirations, which sought to institutionalize novel normative orientations (Greenwood et al. 2017; Randles 2017), include social responsibility, societal embeddedness, sustainable development, global engagement, and academic enterprise, which incentivizes risk-taking and entrepreneurial initiative within the academic community (Crow et al. 2004). As Randles put it: "Institutional entrepreneurialism is shown at ASU to be encultured, critical, reflexive, and collective; and articulated at multiple levels within the organization" (2017, 278). The transformation demonstrated the de facto institutionalization of responsible innovation before its theoretical formulation (Dabars and Dwyer 2022).

As documented in the two case studies, ASU has advanced both the academic rigor and diversity of students including those from historically underrepresented and socioeconomically disadvantaged backgrounds, as well as first-generation college applicants. The charter created at ASU measures the results of its strategic plan by inclusion, not by the standards of highly selective universities that conduct status warfare by neglecting the needs of the excluded. Through

learning grounded in ongoing research and innovative educational approaches, students are trained to become lifelong learners who can adapt to the changing needs of the workforce or pursue personal goals. The interrelated New American University and Fifth Wave models preceded the emergence of the Universal Learning model and platform (Crow, Dabars, and Anderson 2024).

Operationalizing the Universal Learning Platform

As a platform for universal learning, ASU may be characterized as an enterprise that serves all potential learners by creating, incubating, and scaling tech-enabled educational solutions that are personalized, stackable, accessible, and responsive to workforce needs. In this new type of learning enterprise, students acquire skills and competencies by building on traditional credentials such as high school diplomas as well as college and university degrees at any stages of their lives. The abundant systems perspective implicit in universal learning requires that high quality education be available to any potential learner.

The development and application of digital educational technologies is the remit of EdPlus, the unit at ASU that provides access to the knowledge core of the university to an ever-widening population of students around the world. EdPlus "derives its charge from the recognition that the enabling technologies that allowed universities to grow and scale over the past centuries have changed fundamentally during the past thirty years, and will continue to do so," observes Philip Regier, University Dean for Educational Initiatives and CEO of EdPlus. In these ways, he continues, EdPlus is foundational to the Universal Learning platform, which is "limited only by our creativity, dedication, and speed of execution—not by the physical space of our campuses." In other words, EdPlus seeks to deliver higher education at the scale and speed needed by anyone anywhere to achieve their goals.

Through ASU Online, ASU extends this mission in multiple modalities. The online programs at ASU are grounded in the knowledge core of an institution that has achieved world-class academic excellence. Online degree programs and courses at ASU are delivered by the same faculty who teach on campus. Students who graduate from online programs at ASU receive the same degrees as those who have attended class on campus. Most important, employers readily accept degrees from online programs offered by ASU Online. Within the context of escalating demand for advanced higher education in an era of public disinvestment, the Universal Learning platform allows ASU to deliver innovative higher education more efficiently and at greater scale than could be achieved using anachronistic methods chained to modalities that cannot scale.

ASU Online now serves 84,000 students online from across the nation and around the world. Of this number, more than 22,000 are graduate students. More than 70 percent are adult learners over the age of twenty-five who may be returning to school after long hiatuses or undertaking university-level coursework for the first time while holding down jobs or raising families. Furthermore, nearly 25,000 are students supported by corporate partners like Starbucks and 12,000 are military students. The scale provided by the Universal Learning platform is essential to meet challenges posed by the technological and economic forces unleashed by an emerging economy, social goals such as equity and inclusion, and health concerns such as delivering classes during the onslaught of global pandemics.

Toward an Abundant Systems Perspective

Educating students from the top 5 or 10 percent of their high school classes is the de minimis obligation of our leading colleges and universities. The real challenges, however, are to educate to internationally competitive standards of achievement the top quarter or third of successive cohorts of eighteen- to twenty-four-year-olds, and for our public universities to provide opportunities for lifelong learning to more than half the population of the United States. To achieve these objectives, a subset of our nation's large-scale public research universities must differentially lead efforts to accommodate not only successive cohorts of traditional on-campus immersion students (eighteen- to twenty-four-year-olds) but also potential learners from increasingly diverse socioeconomic and demographic profiles, who seek degrees and whose undergraduate educations are conducted within programs based on funded research that is grounded in the liberal arts and sciences; and also everyone else, referring to all possible populations of learners, including the 36 million Americans who have attended college but not completed a degree.

A system of higher education that rewards only the privileged fails to animate hope in meaningful societal progress. Instead, ASU views higher education as an abundant system, which like languages or open information systems are more valuable for individuals and society when they are widely adopted. An abundant systems perspective calls for high quality undergraduate education to be available to anyone qualified to access it. The impact of implementing such a goal at a national scale would transform and empower our society.

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Notes

1. This chapter represents a synopsis of arguments and themes from our forthcoming book, *National Service Universities: Democratizing American Higher Education* (Baltimore: Johns Hopkins University Press, 2024). Portions of this chapter quote or paraphrase our draft manuscript as well as Crow and Dabars, *Designing the New American University* (Baltimore: Johns Hopkins University Press, 2015) and *The Fifth Wave: The Evolution of American Higher Education* (Baltimore: Johns Hopkins University Press, 2020)

The Future of Faculty Development and Developing the Faculty of the Future

Dr. Ted Mitchell and Mr. Scott Durand

We come from an unapologetic stance: research consistently demonstrates that positive student outcomes, whether graduation rates, satisfaction rates, or personal growth measures, are highly dependent upon the quality of teaching and the quality of interactions between faculty and students. This has probably been true since Socrates and the olive tree, but with so much in flux in higher education, we believe that any focus on the future must include a recommitment to assuring the quality of teaching and faculty/student engagement.

We look at four domains in which the faculty of today and tomorrow must excel:

1. Incorporating technology in teaching and class management
2. Crafting and practicing pedagogies that reach a student population that is increasingly diverse in terms of gender, race, ethnicity, gender identity, and educational background.
3. Deliberate engagement of undergraduate students in research and graduate students in the skills required to be a great teacher
4. Advising, which includes awareness of students' mental health challenges as well as the creation of support systems and pathways to academic success.

Certainly, this is a full plate for faculty, yet these encompass what we believe to be the composite of the roles we need faculty to master in order to serve today's and tomorrow's students.

Our chapter will explore each of these topics in turn and then suggest alternative ways for institutions to help faculty develop these skills and be recognized for their effort.

Today's faculty have been stretched and challenged in ways they probably never imagined when they first entered the classroom. If, ten years ago, you asked any higher education leader to define the biggest issue facing faculty, they likely would have told you it was the learning curve that came alongside the rise of online education and the (now ubiquitous) use of ed-tech in classrooms.

None of us could have envisioned, though, what the last three years would bring, nor the "fuel to flame" effect the pandemic would have on the existing issues within higher education. (Some might have stronger language to describe these years!) It's quite clear now that technology and modality are not, and never were, the deciding factors. Those things are and will *always* be mere footnotes in the shadow of our real thesis: improving lives through education. That should always be our north star. But lately, that north star has been obscured a little by clouds of doubt.

With more prospective students asking, "Is a degree really what I want?" college leaders and faculty are challenged to reimagine the role of the institution altogether. What is the purpose of higher education? Whom does it serve and how? What can institutions do to ensure that higher education has a democratizing—and not a jeopardizing—effect on peoples' lives? What shape and size of higher education works best for whom, and what does that mean for institutions and our "business as usual"?

We resist the urge to look at these questions and surmise that we're in an unsolvable existential *crisis*. Instead, the most visionary thinkers—many whose essays are contained within this book—are welcoming these questions for the *opportunity* they afford us all to do better by our students. Now is the perfect moment to discard what doesn't work so well, while distilling and scaling the undeniably affirmative attributes of higher education so that our value and the value of the credentials that institutions provide are irrefutable—timeless, even. In short, we all know we've got a good thing here that's worth preserving and fighting for. But we've got some work to do to get our sh** together.

This change is infinitely achievable because of the optimism and vision of so many college presidents and the resilience and tenacity of the faculty members under their watch. However, it requires us all to opt into a far greater self-awareness as a sector. Because, frankly, there are things we've accepted as truths that maybe aren't so true after all. Some are a little bit wrong, and others are downright nonsense.

Among the norms we've accepted as a sector, none are quite so baffling as the myth of the natural-born teacher. Many are called to teach, but no one is *born* an excellent educator. This myth creates needless anxiety and insecurity among higher education professionals. It degrades the profession by supposing that (1) educators don't need—or worse still, aren't worthy of—ongoing, competency-based education (anyone who needs it must be a lousy teacher, right?), and (2) that our field of knowledge isn't evolving with the world around us. The latter helps to perpetuate a stereotype that the college campus is a time warp, devoid of innovation and relevance.

Imagine for a moment that we had this "natural-born" expectation of doctors and nurses—that their textbook knowledge of medicine alone would carry them through their first shift working with real patients. "Hi, I'm Dr. Durand and I was born to be a doctor. I know everything about anatomy, so I'll be opening you up today for surgery." Or "Hi, I'm Nurse Mitchell. I learned how to deliver babies thirty years ago. Let's do this!"

It's equally silly to expect this kind of stagnancy of faculty members, yet it's long been the status quo. In 2023, many, if not most, faculty members have had little to no training in the craft of teaching. To date, fewer than one in ten institutions have a reward structure that prioritizes research over teaching in terms of tenure, promotions, and so on, yet graduate programs spend vast amounts of time with students on the ins and outs of conducting research, and little to no time with students on how to teach.

And while teaching is certainly a craft, it is without a doubt also a science. We have an extraordinary amount of evidence supporting what works, and that body of knowledge continues to grow as we work with more institutions to promote efficacious and smart teaching, and as we measure the impact of pedagogical upskilling on real classrooms and students.

Yet the science of learning has gone largely untapped by our profession; it's not an expectation we have for higher education faculty. The "learning how to teach" void has caused many undeniable subject-matter experts to have to rely

on their own scrappiness to refine their pedagogical practice. They do so through trial and error and self-teaching. Let's be honest—many are downright burned out and lack the time for it. Their workday is a shrinking commodity.

Faculty are juggling expanding responsibilities in areas that were not previously such a prominent part of the gig—mentorship, expectations of nearly constant digital communication, and so on. These activities now constitute a greater part of the faculty workload. Even if time were abundant, are we really comfortable leaving pedagogical efficacy to chance at a time when student outcomes matter so very much? We wouldn't accept those odds anywhere else, would we?

Doing away with the myth of the natural-born teacher requires higher education leaders to acknowledge their duty of care to students and the teaching profession. They can readily do that by ensuring that their faculty members have had every opportunity to refine their pedagogical approaches and understanding of current issues facing students. Those issues are a not-insignificant part of the zeitgeist on campuses nationwide. (An eye-watering amount of the faculty workday now is spent responding to non-academic student needs. In one study 21 percent of faculty said maintaining constant communications with students outside of class time was the single most challenging part of their job.)

Today's students are facing a host of challenges, many of which—like economic standing and job prospects—mirror the challenges facing the public. Others are unique to or even created by higher education. Arriving at college or university, for so many, has required herculean effort, with academic achievement arguably among the "easiest" parts of the journey. What comes next is also a massive source of stress for current students. Mental health crises among students are at an all-time high, confounding institutional leadership and often requiring faculty to take on the dual roles of educator and counselor. For many students, there is still a feeling of being an outsider on campus—the work to create spaces of belonging is pressing. This is increasingly true as student bodies now include many more people who are first-generation, returning learners, and new-traditional students. Critically, the cost of higher education remains a barrier for so many.

With these factors in play, every moment of instruction counts, and there's little room for mishaps, yet mishaps seem to happen daily. The faculty member is paramount to student success. At the end of the day, faculty members spend more time with students than anyone else. A single educator impacts more than 100 students, on average, in a year. There is no interaction so vital to the existence of higher education than that between the educator and the student. It's true online and it's true in-person. And in the paradigm of a workforce in which people everywhere are asserting a right to learn on the job, higher education has a fantastic opportunity to lead by example. In short, educators are not immune from a need to grow and learn, and they deserve the opportunity to thrive on the job.

When leaders make this investment, they give faculty members a vote of confidence. "We believe in you. We are investing in your *today* and your *tomorrow*. And we entrust you with the success of our students." When they do so, they offer students a quality educational experience, taught by people whose ability to relate and inspire matches their passion for their subject. The net result of all of this, we should have no guilt about asserting, is institutional success. We know this because the data prove it. Well-trained educators *do* boost retention. They *do* boost achievement. And the long-term gains for their students are astonishing. When taught well, a graduate is 1.9 times more likely to be engaged at work and lead a fulfilling life. This is unsurprising to anyone who has ever been in a fabulous teacher's classroom.

If we all know the value of excellent teaching, why don't we (wait for it) . . . scale it! The good news is that we can. We are!

What must the faculty member of today—and indeed tomorrow—know and what skills must they possess in order to excel? What do they need to know to be an exceptional teacher? Because they sure aren't going to get it through osmosis, and now is not the time to leave this to chance.

The three items that follow are, as we see it, the "durable skills" of our profession that will stand the test of time. These skills will help educators and institutions thrive despite turbulence. Most importantly, faculty members who possess these skills can do their part to ensure that higher education remains one of the best investments a person can make.

They are:

1. Awareness, Empathy, and Relational Mastery

The faculty of tomorrow will have a finger on the pulse of the evolving complexities facing students and be able to extend true empathy. They will be able to confidently explain how the educational experiences they deliver are relevant to what will happen after graduation, such that students feel compelled to stay enrolled. (Explaining the applicability of course material can't be overstated. I promise you that only a few exceptionally gifted theater majors are staying awake in an advanced math class unless it's for good reason!)

Faculty will be aware of the external pressures that make the college experience both a time of opportunity, but for many—particularly those from backgrounds that have long been underrepresented on campuses and in workplaces—of stress and anxiety. This awareness work is deeply connected to race, sexual and gender identity, political beliefs, and religion. It's sensitive stuff, and that's precisely why—let's be honest—many have tended to shy away from it. To gain this awareness, faculty will need to work to uncover their own—often unconscious—biases, with the understanding that how they engage students is as important as what they are teaching. We all think we're unbiased, but it's not quite so simple when we start to dig a little deeper, is it?

Tomorrow's faculty will be able to craft and practice culturally responsive pedagogies that reach a diverse student population. They'll do this in large part because they will understand the value diversity offers to the teaching and learning environment. Appreciation of diversity creates space for belonging and ultimately yields richer educational experiences, more meaningful discussions, more relevant student contributions, and a greater chance of positive outcomes. There is no getting around it, and anyone who doesn't "get" this in 2023 probably isn't cut out for the job.

The faculty of tomorrow will possess a relational mastery that allows them to be compassionate in dealings with students, while establishing firm and healthy boundaries and maintaining a high bar for success. These boundaries are critical to both student and faculty well-being (read—to preventing *burnout*), but also to maintaining academic rigor. Faculty connections with students will be rooted in trust and transparency. That's no easy task when plagiarism is a reality, but building a trusting relationship is the first step, isn't it? What's true elsewhere in life *can* be true in the classroom if we take the time to build it.

Creating and extending support systems to students—especially for the most vulnerable and challenged students among the population—will be critical. Because just like appreciating diversity, there is nothing trite or overly lenient about giving students every opportunity, and the spaces they need, to do well.

Yet to do these things requires something that's often hard for educators. It requires a relative loosening of the power dynamics that have long governed student-faculty relationships. It requires faculty to work toward outcomes that matter to students—beyond a passing grade and in favor of a more holistic view of student well-being.

2. Commitment to Student and Purpose

The faculty member of the future will be a savvy operator who understands the value of each interaction with each student—of each lesson and discussion question. A commitment to their success as a person will trump academic success. This can be another tough pill to swallow.

Committing to the "whole student" will necessitate faculty stepping into the role of helping students navigate higher education, as well as professional and life transitions. The latter is now—and will increasingly be—a vital responsibility of every educator. Career-focused work will be fueled by a sense of purpose and a commitment to delivering valuable learning experiences that go beyond the textbook and well beyond the degree. There will be life-relevance at every turn. We ignore this at our peril!

The faculty of the future will discard the "sage on the stage" model that we've all scrutinized for decades, and embrace student-centered teaching. They will teach to the student's level and needs, rather than delivering pre-packaged lessons.

Faculty will give students the opportunity to learn by doing, helping to connect them to internships, co-ops, apprenticeships, and beyond. Those experiences won't be added extras; they'll be carried out in tandem with classroom learning—accelerating and reinforcing what's learned in the classroom. Seriously—are there any among us who *don't* learn better by doing?

As part of this deeper learning-to-earning connection, faculty will expect students to create a plan for achieving their career goals. Those teaching graduate students will spend as much time on the science of good teaching as they do teaching students how to research. This will help reinforce our higher education "circle of life."

Faculty will give students opportunities to problem-solve in ways that mirror what happens in a workplace, while sharpening their teamwork and communication skills through project-based and work-based learning. Courses will be connected to portable, digital credentials signaling that the skills learned in the context of higher education *do* translate to something employers want and need. Before anyone panics, this is not to say the degree isn't important—it's us holding up our hands and saying we can do more and we can do better by our students when we deconstruct their learning experiences in ways that help them most on the job.

It's often true that a student's relationship with a faculty member is the first professional relationship they have experienced. With that understanding, faculty will mirror the professional attributes their students need to build. They

will give students experiences that allow them to build social capital. They'll do this by extending networking opportunities, as well as structured mentorship and visits to prospective employers or well-connected alumni.

3. Technological Agility

Any piece of technology or pedagogical approach can be learned at a point in time. However, agility—the ability to move and grasp things quickly—must be continually practiced and honed. An agility mind-set will be the hallmark of an excellent educator. A savvy understanding of how to deploy technology to deliver excellent learning experiences will be an undeniably valuable part of this skill set.

As for the specific tech? It doesn't really matter. Tomorrow's faculty will be versed in the ins and outs of an impressive tech stack. Yet that technology will evolve frequently, meaning that being wedded to any one tool or another could, in fact, be a hindrance.

The most important skill in this area will be the ability to change gears *quickly*. Faculty will be comfortable conducting research with open-source tools and using the tools at their disposal to cobble together teaching moments and lessons, while also being willing to learn alongside their students. (Again, no more "sage on the stage.") The faculty of the future will handily navigate a changing digital landscape and will be comfortable with a great deal of unknowns as the tech evolves. A hybrid approach will increasingly be the norm, meaning that the management of multiple modalities must be well within the comfort zone.

A fluency with data analysis will be a key component of the agility skill set. Faculty must understand data not only as a means of tracking student progress but also of identifying areas where students are struggling, and using it to inform decisions about course design and instruction.

There is and will be little room for faculty to fear technology. The time of wondering, "Will I be replaced by AI?" should be long gone, as educators realize the value they will always be able to bring to students as skilled navigators and operators *of* technologically powered learning experiences. As AI and machine learning become more prevalent, institutions and educators will need to understand how to use them to create immersive learning experiences that reach more people.

Ahead to a More Powerful Higher Education

At a time when faculty are being called to do more with less—when burnout among faculty is rampant and more people are questioning their call to join the ranks of higher education—it seems counterintuitive to share a list of things faculty "should do." Is it an unrealistic expectation that faculty will hone these skills? Are we merely adding more to an over-full plate?

A culture of learning and commitment to pedagogical upskilling among faculty isn't just a far-out aspiration. There are many within higher education who are already doing this work. The data validate their ability to reach and influence students, compared to those who have had no such training. We see consistently that taking the time to refine

one's teaching practice is a worthwhile pursuit. We know from decades of experience and research that working toward better teaching helps faculty members be more purposeful in each interaction with students. It gives them the power to be more efficient with their precious time, more effective in delivering their subject matter, and more intentional in driving course-wide outcomes.

This isn't hard, my friends. It's intuitive. We should all want more empathetic, aware, committed, agile, and tech-savvy educators reaching the next generations of college students. The impressions they leave will be long-lasting. The impacts of it will be felt long after we're retired.

A highly skilled faculty turbocharges an institutional reputation. It means educators have the capabilities to evolve and thrive, withstanding whatever changes—whether exciting or downright scary—are ahead for our sector. But most importantly, it ensures that the democratizing power of higher education on peoples' lives is beyond reproach. We can't think of a more important place to focus in 2023.

Chapter 7. Research and Service

Dr. Ed Ray

Chapter Overview

Major public and private colleges and universities have learned over time that they need to generate revenue for research through grants and contracts, university-industry partnerships, multidisciplinary and multi-institutional collaborations, even as they endeavor to contribute to the common good. Creative work in the written, visual, and performing arts is also essential for the advancement of society, and the college or university research enterprise is too often narrowly focused on promoting funded research rather than supporting all of the creative activity on the campus.

- Raising revenue and changing the world.

Public colleges and universities have a mission to educate people who often come from modest social and economic circumstances. They also exist to serve the broader economic and social needs of society. What strategies can Research I public and private institutions employ to increase and diversify their research funding and still serve the needs of society?

- Integrating research and creative work into the curriculum.

All academic institutions include elements of the arts as well as the sciences, and the resource needs in the arts can be quite different from those in the sciences. How can colleges and universities more broadly support all of the creative activity in their institution and bring discoveries and creative endeavors into the classroom?

Research as an Enterprise

Dr. Caroline C. Whitacre

Over the last two decades, the composition of Research Offices has dramatically changed along with the titles and expectations of research officers. What has caused this shift? And how can the contemporary Chief Research Officer (CRO) be successful in this new more demanding environment? First, there must be an ecosystem of research literacy among the top leaders of the university. The president, provost, and CRO collectively need to recognize the role that research plays in the advancement of the university's reputation. Research successes of the faculty must regularly be communicated to the public in understandable, non-technical language. This communication should be coordinated among the top leaders of the university and be a regular occurrence. Second, contemporary research must be seen as highly purpose-driven and directed toward societal need. Today's research enterprise requires the addition of center/institute structures, whereby faculty of widely different disciplines are co-located and performing interdisciplinary work. Third, funds to support this interdisciplinary work tend to rely on a diversity of funding sources, including federal grants, state and local grants, foundation grants, university-industry partnerships, entrepreneurial return, and philanthropy. While funding for university research has grown from all sources in recent years, there is substantial opportunity to grow further in the area of industry partnerships. Fourth, making fundamental decisions about university research such as what strategic areas to invest in, what funding sources to pursue, what centers/institutes to establish, and so on, necessitates access to reliable data. Building the case for research investment requires an understanding and appreciation of local assets as well as a thorough knowledge of the institutional faculty, their expertise and existing relationships.

Higher education institutions have changed dramatically in the past twenty years, certainly during the pandemic, but starting long before that. In this essay, I focus on research and start by postulating about what has brought on that significant change. In my view, there have been three elements which together have catalyzed a complete re-thinking of how research operations are conducted. First, expectations have changed for research at universities. Researchers are expected to be problem solvers for thorny problems in the community, attentive mentors for undergraduates, graduate students, postdocs as well as junior faculty, spellbinding communicators of their research findings, compliant followers of increasing loads of federal and state regulations, stimulating classroom instructors, dutiful members of university committees, conscientious reporters filling out miles of paperwork required by both internal and external offices, as well as leaders in their fields of research inquiry. These duties represent an expansion of the job description beyond the traditional research, teaching, and service responsibilities of the past. Second, there is an increased focus on rankings among universities today. *US News and World* report rankings, the National Science Foundation

(NSF) Higher Education Research and Development (HERD) survey, the Times Higher Education World University Rankings and Blue Ridge rankings for medical schools are just a few of the major high-profile ranking systems in use today that elicit intense scrutiny among higher education leadership, all in the name of bragging rights. Central to those ranking systems is research funding, often measured in terms of research expenditures. A notable exception is *US News and World Report*, whose ranking includes a sizable proportion based on reputation. I would argue that research plays an outsized role in scoring of reputation. How often do we see press releases from University Communications offices touting an increase in rankings for any of these sets of metrics? Offices of Institutional Research (sometimes renamed to have Competitiveness or Strategic in their titles) spend hundreds of hours combing through university data trying to figure out how to game the system and gather every last piece of data to boost their university's position. Reporting even higher numbers than last year doesn't guarantee a higher ranking, since everyone else is rising as well. Third, there has been a notable emphasis placed on measurement of outputs in research. Rather than focusing solely on research dollars as in the past, there is increased emphasis placed on what institutions *DO* with that money—publications resulting from research grants, patents arising from university inventions, licensing of university discoveries, and start-up companies spinning out from university entrepreneurial activity.

As a result of changes in expectations, rankings, and measurement of university research output, there have been some rather noticeable changes in the organization and composition of University Research Offices. There has been an expansion of responsibilities to include commercialization, corporate engagement, entrepreneurship, competitive intelligence, research development, proposal development, and research communications to name a few (Droegemeier et al. 2017). Alternatively, some universities have elected to form new entities to handle these responsibilities, which oftentimes compete with University Research Offices for resources and confuse faculty. The leadership titles of some research offices have also undergone a transformation—from Vice Provost or Director for Research in the past to Vice president for Research, Senior Vice President for Research, Executive Vice President for Research, Senior Research Officer, Vice Chancellor for Research, and so on, often reflective of the reporting lines of these positions. Words have been added on to those titles, words like Innovation, Economic Development, Creative Activity, and Knowledge Enterprise, for example. With the expansion of responsibility that has occurred over the past twenty years, how can contemporary research officers coming into these positions be best positioned for success? In this essay, I treat four topics that I feel are critical to a successful research enterprise today—research literacy and recognition of the importance of research among university leadership, fostering an environment of interdisciplinary research, attraction of research funding from diverse sources, and access to comprehensive and reliable data sources.

Research Literacy

In this context, with the term "research literacy," I am referring to familiarity and ease of speaking about research topics. While the senior Research officer at a university and their top-level staff are quite familiar with research topics (built into the qualifications for their positions), this is not always the case for the president, provost, and other university leaders, especially those coming into the academy from the outside rather than rising up through the academic ranks. It is absolutely essential that university leadership understands the importance of research to the reputation of a university.

University presidents and provosts have a myriad of opportunities to speak at occasions ranging from football game brunches to national higher education meetings. Those remarks, no matter the occasion, are typically highly scripted by attentive communications staff members who gauge the impact of the speech and the response of the audience both immediately and emanating from social media. It cannot be overestimated how important those opportunities are to get the message out about the university. With that sort of megaphone, the president and provost have become the major spokespersons for university messaging along with website content and message releases.

So how can chief research officers work research messages into presidential remarks and provost speeches? Some presidents/provosts get it right away, particularly if their background is in a traditional research-intensive discipline. If not and especially if they come from outside academia, a regular communication from the CRO to the president/provost about research highlights is helpful for getting the message across. Creation of a succinct list of top ten research highlights happening that month would be useful in providing the president with suggestions for his or her communications. When the CRO sends that list to the president, the CRO should also send it to the president's or provost's speech writer and to the university communications office for maximum coverage. Having research more broadly discussed at the top university leadership level also builds trust among the faculty.

The idea of research literacy is about building a culture of research on campus and in as many communications about the university as possible. The saying that "any publicity is good publicity" is not true for research. Sometimes there are negative stories about research, namely, research misconduct findings or lab accidents or financial fraud in research, that make headlines. These tend to stick around longer than positive stories and keep getting resurfaced particularly where litigation is involved. The goal is to get as many positive stories out as possible. For example, one campus recently conducted a contest for "Coolest Science Story of 2022" and had the entire campus vote to select the winner. Although the prize was a mere trophy and $500, the enthusiasm that was generated among faculty and students and the anticipation built around the ultimate announcement was palpable. And that was just inside the institution where over 4,000 votes were cast. There was also interest in the community where the story was carried in the local newspaper. Another example of building a positive culture for research is holding recognition events for highly productive researchers. These can take the form of dinners or receptions for researchers who have received national honorific recognition for their research or for innovations such as patents, licenses, or starting a company. It is often the recognition by one's peers and heralding of success that is almost as valuable to faculty as a monetary prize.

The Case for Interdisciplinary Approaches to Research

Over the last fifteen years, there have been several lists of large, expansive challenges published with the goal of laying out global problems in need of solving. Two prominent examples of these lists are the *Engineering Grand Challenges*, released in 2008 (National Academies 2008), and the *United Nations Sustainable Development Goals*, first released in 2012 (United Nations, n.d.). A more recent list was put out by the National Science Foundation in 2017 to highlight NSF's 10 Big Ideas (Table 1). The Engineering Grand Challenges were arrived at by an international group of technological thinkers who were asked to look ahead to the largest problems facing humankind in the twenty-first century. The group organized the challenges into four cross-cutting themes of sustainability, health, security, and joy of living. Some of these challenges were quite focused, such as managing the nitrogen cycle or making solar energy economical, while others have seemed virtually unlimited and unattainable, such as restoring and improving urban infrastructure

or preventing nuclear terror. The UN Sustainable Development Goals and the NSF Big Ideas are similarly broad in their reach—to end poverty, take urgent action to combat climate change, and harness the data revolution, for example. One commonality characterizes the items on all three lists—they are purpose-driven and directed toward societal needs. Moreover, the lists cover huge swaths of disciplines—from physical science to social science, agriculture, education, and medicine.

Table 1. NSF's 10 Big Ideas

1. Future of Work—Building the human-technology relationship
2. Growing Convergence Research
3. Harnessing the Data Revolution
4. Mid-Scale Research Infrastructure
5. Navigating the New Arctic
6. NSF 2026—Seeding investments in bold foundational research questions
7. NSF INCLUDES—Transforming education and career pathways
8. Quantum Leap
9. Understanding the Rules of Life
10. Windows on the Universe—Nature of matter and energy

These lists of problems received national and international attention and sparked thinking at universities. The problems lists catalyzed faculty from diverse disciplines to start talking to each other and collaborating. Not that faculty weren't talking to each other and collaborating before 2008, but these highly publicized lists of pressing needs and "big hairy audacious goals" brought a new urgency to faculty collaboration and a new source of support as funding agencies willingly embraced the global problems approach.

With the emergence of larger foci of research such as the list in Table 1, research approaches directed at those questions required collaborators from widely varying disciplines. There has been a large increase in the emergence of research institutes or centers on campuses, in part to coalesce the interests of those researchers around a central theme and often resulting in co-locating those researchers in common spaces.

One curious aspect about the lists of global problems (as exemplified in Table 1) was the complete absence of any mention of humanistic or artistic approaches to these problems. This was something universities had to wrestle with in the approach to their new centers and institutes directed at global problems. The arts and humanities have a lot to contribute! For example, the UN Sustainable Development Goal of "ensuring inclusive and equitable quality education and promoting lifelong learning opportunities for all" would be quite lacking without the inclusion of artistic and humanistic approaches. Moreover, the understanding of the goal of "reducing inequality within and among countries" would be incomplete without a historic and philosophic context. So universities set about designing new centers and institutes directed at global problems and with the goal of inclusion of all disciplines.

A prime example of a long-standing university institute that was "at the right place at the right time" to further the UN Sustainable Development Goal of "taking urgent action to combat climate change and its impacts" is the Byrd Polar and Climate Research Center at The Ohio State University. First started in 1960 as simply the Byrd Polar

Research Center, the goals of the center have always been to promote interdisciplinary research and to highlight the climate changes in the polar and alpine regions of the world as well as the impacts of climate on the environment and society. These goals have been facilitated by an extensive library, archives of polar exploration, polar rock repository, and ice core collection, as well as a strong program of public outreach and communication. It is centers such as Byrd that train succeeding generations of climate scientists. Thus, this center is an excellent example of an already existing entity that was poised to undertake the daunting challenge of climate change.

What about a more recently developed initiative that grew out of the explosion of global challenges environment? Arizona State University's Sustainability Initiative represents such an example, as a vision of the president, Dr. Michael Crow, and begun in 2004 with a $15 million gift. Today, almost twenty years later, the Initiative has more than 500 members and places special emphasis on urban environments, connecting scientists, scholars, humanists, engineers, policymakers, business leaders, students, and communities as partners to advance teaching, learning, discovery, and innovation. What is most notable about this initiative is that the science is translated into sustainable operations across all units of the four ASU campuses and beyond to the city of Phoenix. The Sustainable Development Goals are explicitly called out in the description of the Global Institute of Sustainability and Innovation.

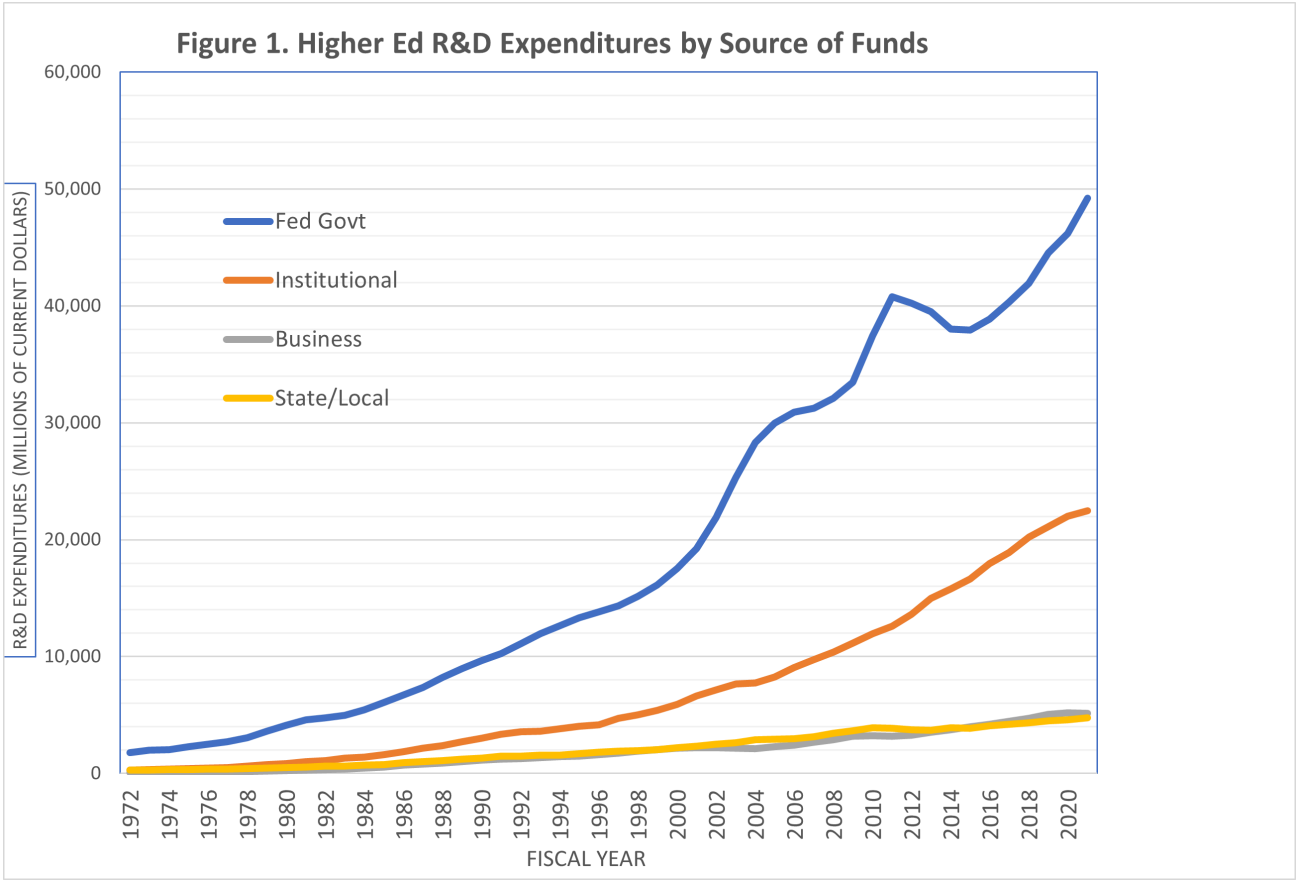
Thus, the creation of centers and institutes are an outstanding mechanism for faculty to come together around an area of research focus. These centers have become increasingly interdisciplinary as the global problems they focus on are more all-encompassing and thorny. It is important that the new knowledge created in these centers/institutes get embedded into the learning environment, particularly into relevant courses and seminar series. Some of these centers/institutes have spawned new undergraduate and graduate degree programs, teaching students concepts and tools they need to solve real-world problems. Examples include the Master of Sustainability Solutions Degree and Master of Sustainability Leadership offered by the ASU Sustainability Initiative.

These institutes have also become the focus of philanthropic successes as big global problems often catch the attention of large donors, as was the case with the ASU Sustainability Initiative. Also, funding agencies have put expanded dollars toward global problems and awarded funds to some of these large centers. Thus, the funding models for these centers are somewhat more varied than traditional university research programs. In the creation of a center, often, a small pot of internal university dollars can be leveraged to attract federal, state, foundation, and philanthropic support. Offices of research can be quite helpful in creating these interdisciplinary centers by offering a pot of seed money and requiring the participation of multiple departments and colleges. A clear set of requirements and guidelines for center creation can circumvent turf wars occurring at the department, college, and university levels, when applying for internal as well as external funding.

Together with center/institute growth over the last ten years, there has been a growth in research space at US universities. Data recently released from the National Science Foundation show that research space at colleges and universities in the United States increased by more than 30 million square feet in the past ten years, representing an increase of 17 percent (June 2023). Specifically, academic institutions had 202.2 million square feet of science and engineering research space in 2011, which increased to 236.1 million square feet in 2021. Interestingly, five fields accounted for the vast majority of the research space in the 2021 data—biological/biomedical sciences, engineering, health sciences, agricultural sciences, and physical sciences.

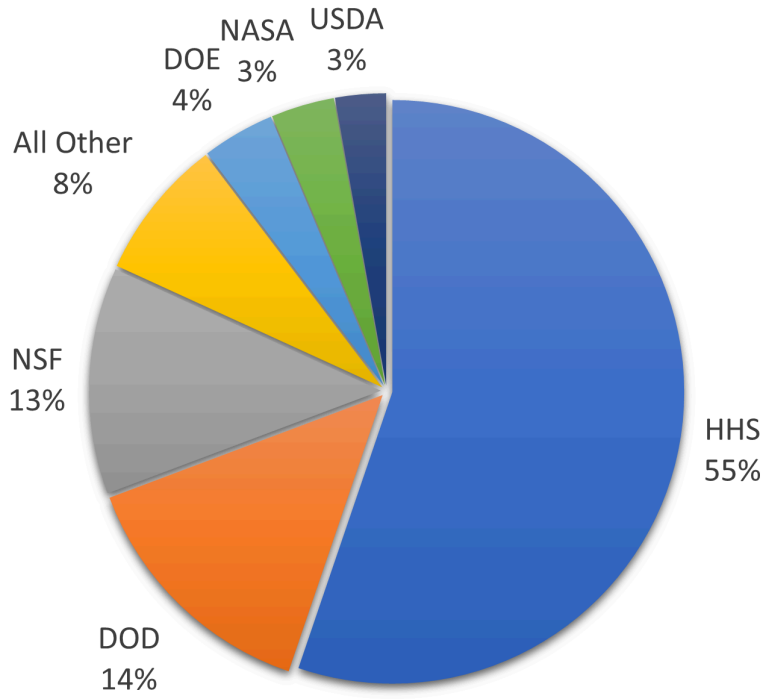
Funding Sources for Research in Higher Education

Funding of research in higher education has been tracked since 1953 by the National Center for Science and Engineering Statistics (NCSES) within the NSF. Each year, data is gathered for each institution as part of the Higher Education Research and Development survey (HERD 2021). It is important to note that the HERD numbers are self-reported research expenditures by each institution, albeit with some fairly strict guidelines and oversight of reporting by the NSF. If we consider the past twenty-one years (up to the year 2021, which is the most recent data available), all R&D expenditures had a significant uptick during those two decades. Figure 1 shows that the predominant source for those monies came from the US federal government, with $17.5 billion in 2000 increasing to $49.2 billion in 2021, an increase of 181 percent (HERD 2021).



What federal agencies supply those funds to higher education institutions? Health and Human Services (97 percent of which comes from the National Institutes of Health [NIH]) provides the majority of the resources—nearly 55 percent of the federal pie (Figure 2). The NSF and the Department of Defense (DOD) each supply around 13–14 percent of the federal share of R&D. The Department of Energy (DOE), the National Aeronautics and Space Administration (NASA), and the US Department of Agriculture (USDA) each supply 2–4 percent of the resources to universities (HERD 2021). By and large, federal monies coming to universities are geared toward a health focus.

Figure 2. University R&D Expenditures by Federal Agency



Among non-federal sources of support, institutional funds were the next largest source, followed by an equivalent amount from state/local government and business (Figure 1). What constitutes institutional funds and how are those funds used? NCSES categorizes these expenditures as unrecovered indirect costs, cost sharing, and direct funding for R&D. Many campuses also include start-up funding for new faculty in this category. It is noteworthy that institutional funds increased from 18 percent of total R&D in 2000 to nearly 25 percent of total R&D in 2021, perhaps resulting from increased start-up costs for new faculty and bridge funding for existing faculty. Direct funding for R&D is typically a small component of institutional funds for research, but it is vital to some disciplines which do not have traditional external sources for support. For example, small seed investments into the creative and performing arts can provide increased visibility and leverage for outside investments where an internal investment is needed. What stands out most starkly in Figure 1 is the minuscule amount of business support for research in higher education institutions, accounting for 5–7 percent of all R&D expenditures.

The publication *R&D World* comes out each year with the Global R&D Funding Forecast, which gives an overview of recent trends in global research and development as well as predictions for the future (R&D World 2022). This publication reports that in the US, the business sector is the largest funding source for R&D, amounting to $447 billion or 65.8 percent of R&D funds for 2022. Industry performs the most R&D in the US, doing 69.7 percent of the work for which $421 billion comes from companies and $52 billion from the federal government. Surprisingly, academia performs only about 14 percent of the R&D conducted in the entire United States.

Why is there not more investment by business in academic research? There have been several reasons put forward. First, the slower pace of academic research has been cited as a prominent reason—with the involvement of students and postdocs, they have other responsibilities like taking classes and teaching, that take their time away from research.

We in academia don't seem to get it, according to some industry partners, with respect to industrial timelines and milestones. Universities have also been labeled as "difficult to work with," always haggling over budgets and adding extraneous costs to cover overhead.

There is a significant opportunity to garner greater business support of academic research, and many universities have met the challenge head on. There has been increasing attention paid to industry relationship building, particularly those industries in close proximity to university campuses. For example, Procter and Gamble, headquartered in Cincinnati, has built a close working relationship with the University of Cincinnati; Honda has a similar relationship with Ohio State University; and John Deere has partnered with the University of Illinois. Internal structures have been newly developed inside some universities to specifically court industry, such as corporate development offices, industry liaison offices, and similar offices. These internal university offices are often led by industry-experienced leaders who know the ins and outs of working with the corporate world. Some universities have seen marked success in building new industry partnerships, specifically by focusing on areas of shared interest and engaging faculty who understand the nuances of industry schedules.

The Importance of Reliable Data

Today, more than ever, university campuses need reliable sources of data. In my experience, campuses have a plethora of data sources—ranging from financial management systems to space management systems to differing email systems, and on and on. Most of these data systems do not talk to each other and there is local control over them. As many campuses migrate to new data management systems like Workday or Oracle, where some of the many existing data systems do talk to each other, the complexity of these tools is mind-boggling, the price tag enormous, and the time required to train on these new systems extensive. Often, in the transition, new data governance rules must be established.

In the monitoring and tracking of research, it is important to have robust and up-to-date data sources that you trust, enabling you to make informed decisions. The idea of homegrown data systems, while seemingly sufficient in the past, is no longer viable, because they require substantial resources to maintain. First, there are personnel required to keep these systems up to date, which siphons resources away from core mission areas. Second, if faculty are expected to keep their bibliographical information up to date, these staff personnel will spend their time chasing down faculty or in the end entering faculty data themselves. Some off-the-shelf systems provide automatically updated data beyond the scope of what a homegrown system could hope to provide. Third, homegrown databases require an increasingly sophisticated security apparatus to prevent data breaches. When all the costs for homegrown systems are calculated, it is often more economical and reliable to go with a commercial source that is based on the most up-to-date industry best practices.

There are several companies offering research tracking systems which can be immensely valuable to a research office and beyond. Examples of those companies include Huron, InfoReady, Wellspring, Cayuse, and Academic Analytics. Advantages of these commercial sources are that tracking of research is the core business of these companies, and the data are highly reliable. For example, disambiguation methods have been highly developed, such that faculty with similar names can be attributed to the correct institution. Often these companies provide data on faculty publications,

citations, conference proceedings, books, book chapters, federal grants, patents, and clinical trials. Central to several of these products are tools for faculty development, such as suggested honorific awards, and funding opportunities as well as visualization of collaborative interactions. An attractive feature of using commercial sources for research data is the way the data are displayed. In many of the research data products now available, the graphics are of such high quality, they can be imported directly into conference presentations or board of trustee or regents materials. Thus, by using a commercial source for this type of data, the chief research officer can focus less on gathering the data and spend more time on data interpretation and follow-on actions. It is clear that having better data can help the chief research officer do more with the assets that they have on campus.

Another attractive feature of commercial research data sources is the ability to compare metrics for your campus with those of your peers. These true apples to apples comparisons are not possible with homegrown data systems or even data sharing between institutions. Many companies have gone to great effort to make the data comparable between schools so that true comparisons are possible.

Some examples of research questions that can be addressed by these powerful data systems:

1. What is a good way to identify our true peers today and our aspirational peers of tomorrow?
2. How does the overall research at our university compare with that of our peers?
3. How do the infrastructure, facilities, equipment, faculty, and centers/institutes on our campus compare with those of our peers?
4. How does our university compare with our peers in regard to federal, state, local, foundation, industry, and philanthropic funding?
5. How do we compare with peers in the area of commercialization, e.g., patents, licenses, royalties, start-up companies, and venture capital funding?
6. Who are the rising stars emerging among our faculty?
7. How do our departments compare nationally?
8. How do our strategic areas of research stack up nationally?
9. Where are our alumni and what positions do they hold?
10. How can our faculty be more recognized nationally?
11. How can arts and humanities be more engaged in campus-wide research areas?
12. What is our international research and collaboration profile?

Thus, these sorts of tools allow powerful research questions to be asked and answered, not only for curiosity's sake or for bragging rights, but for strategic uses in planning. Discovering a pocket of faculty excellence distributed across campus can lead to new center formation in a unique niche area as well as expanded grant or philanthropic support.

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Connecting the University to Societies and Economies through Transdisciplinary Approaches

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In this essay, we explore the growing importance of transdisciplinary research in the research enterprise, including pathways to impact, the real and perceived barriers to achieving impact, and the role and responsibility of higher education research leadership in helping address and remove these barriers.

Today's R1 public universities must be committed to investing in areas of scholarly excellence and emergent expertise, and facilitating a cultural transformation that leverages faculty research talent to its fullest extent, brings knowledge to action, and engages students in the process. They must ensure pathways to impact are embedded in all aspects of discovery and learning, with the overarching goal to support, enable, and value innovation. Increasingly, complex research programs are addressing urgent questions of global consequence, such as climate change adaptation, health and welfare of rural communities and marginalized groups, and the development and application of trustworthy artificial intelligence. Topics that include the human dimension are increasingly prevalent and require transdisciplinary approaches that obscure the borders of "traditional" science, as they are simultaneously informed by foundational research, human behaviors, and communities and economies.

Supporting such complex research projects requires significant expansion of research office capabilities and strong partnerships among university senior leadership. It is imperative that institutions create a supportive environment—research development, faculty participation, promotion and tenure criteria—that enables and values transdisciplinary approaches and elevates universities as important partners that serve society and the nation broadly. Solving "wicked problems" requires convergent approaches, an expansive view of impact, a creative evaluation of potential, innovative paths to action, and diverse teams of faculty, students, and entrepreneurs to capture perspectives and opportunity.

The role of research leadership at research active universities has undergone a significant transformation in recent years. In the past a research office primarily consisted of supporting the mechanics of research funding (budget preparation, proposal submission, post award) and ensuring compliance. But as the nature of the research enterprise has expanded to include large and complex transdisciplinary collaborations, major research infrastructure, potential commercial interests, and growing emphasis on local and global impact, the role of the research office has also grown.

For example, as funding agencies focus on large transformative research advances, the successful research office must cultivate collaborative programs, ensure that project execution plans are robust, enable seamless interactions with partner institutions, and submit a growing number of documents for compliance. Upon receiving an award, the research office must then oversee the execution and operation of the full range of awards, from single investigator efforts to centers of excellence to research facility development, with the attendant organizational structures necessary to deliver on the research promise. Such efforts require the research office to find new ways to promote the intellectual growth of the principal investigators, identify and manage new stakeholders both within and outside the university, while also marshaling resources to enable such projects.

With increasing pressures on academic institutions to bring knowledge-to-action, research offices are increasingly required to accelerate the translation of scientific knowledge and discovery into impact. To that end, they play a critical role in bridging the gap between curiosity-driven discovery and actions with measurable outcomes that include societal benefit. These outcomes can be in the form of practical devices, systems, policies, services, social interventions, and other impacts that improve communities, stimulate economic growth, and foster innovation.

Finally, research offices are critical to enabling public engagement and outreach. They help bridge the gap between research and society by communicating research findings broadly and engaging with stakeholders to ensure that research is relevant, addressing real-world problems and contributing to social and economic growth.

The Modern University vs. Traditional Academic Culture

As research offices adapt to changing national needs and societal imperatives, the university must adapt its traditional culture and reward system with the aspirations of modern and ambitious faculty, and expansive thought leaders who are pushing the boundaries of disciplines and accomplishment. In recognition of this need, an ongoing movement, supported by NSF and led by Oregon State University, is reexamining the norms surrounding Promotion and Tenure, to include Innovation and Entrepreneurship **(PTIE).** Indeed, interviews of faculty who seek to expand research horizons have revealed widespread frustration with barriers to development of more diverse research portfolios with broad impact beyond traditional metrics such as research awards and publications. Faculty identify the following impediments: (1) Pressure to satisfy traditional metrics associated with tenure and promotion (grants, publications); (2) increased emphasis on student mentoring and contact; (3) absence of training in how to bring ideas to the market or the public commons, as well as absence of mentors; and (4) inability to access capital that might support the pathway from research to relevance. Traditional academic cultures and organizations may not possess a research ecosystem and promotional ladder that supports, encourages, and rewards this type of high impact research, and as a result, faculty are hesitant to take risks. Accordingly, graduate student education has remained adherent to similar lines of traditional academic values—despite the documented desire of students to conduct research with greater societal relevance and make a difference (see Keeler 2022).

Although universities are notoriously slow to change, some are taking steps to revise promotion and tenure to include innovation, entrepreneurship, and broad societal impact. These steps include interactions with faculty unions and faculty governance bodies, as well as senior administration, and can take several years to implement. Unfortunately, this time frame often exceeds the rapid responses needed by funding agencies and businesses that seek academic exper-

tise for problem-solving. In this case, a university that is positioned to support and reward innovation will have an advantage over institutions that are slower to adapt.

Finally, universities may unwittingly impede collaboration through policies that govern allocation of resources, including indirect costs, by disciplinary units. Pathways for development of interdisciplinary centers must be intentionally developed and resourced independently. That is, support of transdisciplinary work requires creative funding strategies that span university offices, from academic units to research offices, to extension, outreach, and engagement.

In the next section, we discuss the growing importance and urgency of enabling transdisciplinary research as part of the research office's roles and responsibilities at research universities. We start with (1) the growing prevalence of research solicitations that involve large transdisciplinary teams, and note (2) the increasing emphasis of innovation and entrepreneurship that connects universities to economies, as well as (3) the need for connecting research output to rapidly changing communities, societies, and landscapes. We then discuss challenges that research offices must overcome to enable these transformations.

Support for Transdisciplinary Research

The Rise of Transdisciplinary Research

The twenty-first-century research enterprise must navigate simultaneous paradigm shifts to meet the needs of a fast-changing society and environment. Historical norms of how research is conducted, assessed, and connected to societal needs have created groundbreaking contributions in diverse fields of inquiry. However, as agencies prioritize funding larger awards to address critical, cross-cutting problems with diverse social implications, including workforce development, responsible resource stewardship, and community engagement (e.g., semiconductors, clean energy, critical minerals, climate intervention), the complexity of research projects has grown. Accordingly, research offices must enable and encourage interdisciplinarity and cross-sector collaborations to meet this challenge.

A significant paradigm shift involves transdisciplinary research that invites stakeholders as partners in the formulation and conduct of research projects. Sometimes referred to as "convergent" or "participatory" research, this transdisciplinary approach can be a disruption to the research enterprise. It extends the research opportunity outside the sphere of academia and provides a framework to use rigorous tools of knowledge production, while also progressing how we understand knowledge as a shared resource with expertise coming from many sectors, partnerships as reciprocal, and societal impacts as imperative to research investments.

When stakeholders such as private industry, communities of place or affinity, advocacy groups, and governments are embedded in the research process, the outcome is more likely to be actionable and relevant. As a result, the research process is transformed, and the result more likely "shovel ready" with respect to implementation and impact. This approach challenges assumptions built into our concept of research as curiosity → discovery → publication → translation → impact. It invites us to reenvision research as a connected part of the recursive and inclusive process of solving societal problems, while also providing an informed and improved framework for policy development and implementation.

Research offices can help manage the inherent complexity of transdisciplinary collaborations by creating developmental "runways" that facilitate and support teams early in their collaborative process and prior to sending off proposals for extramural funding. These runways can make time for guided and intentional activities that build communication skills and create common goals and provide productive pathways for the research to progress.

Examples of activities and support for transdisciplinary teams include professional training, developmental cohorts, team coaching, fellowships, seed-funding programs, facilitated collaborative design processes, or unique combinations of these. Such activities create the opportunity for partners to develop a shared understanding of the problem to be solved, shared vision of how they will pursue solutions collaboratively, practices for inclusive and transparent communication, clarity about different ways of knowing, and critical expertise of a diverse group that all bring different strengths to their joint endeavor. In addition, as they work through the mechanics and philosophy of the collaborative process, teams can explore how resources and credit will be shared and how new research themes can emerge. In essence, an early phase "runway" sets a productive atmosphere for collaborative success. It creates a set of project artifacts that support onboarding of new partners and team members while providing evidence of successful collaborative practices as solid foundation for future work.

Innovation and Entrepreneurship

In alignment with supporting transdisciplinary research, university innovation and entrepreneurship offices (sometimes labeled technology transfer or industry relations offices) also play an important role in fostering collaborative research between universities, industry, and government agencies. Technology transfer (defined as the process of transferring innovative technologies, knowledge, and intellectual property from academic institutions to external entities, such as industry, startups, or government agencies) is the most standard, best-understood approach to accelerate the translation of academic research into practical real-world applications. This approach is evolving as it employs the strategies of engagement to cultivate more reciprocal relationships where partners collaborate, bringing their unique strengths together to respond to societal and economic needs.

The research office of an R1 university plays an active role in facilitating and supporting innovation and entrepreneurship through the identification of research outcomes with commercial potential; the protection of the intellectual property (patents, copyrights, and trademarks); the development and execution of commercialization strategies; the negotiation of licensing agreements that allow external organizations to access and utilize university-owned technologies; and the active support of researchers interested in entrepreneurship and startup creation. Each step benefits from interaction with industry stakeholders, so a critical role the research offices must play is to establish and nurture the relationships with corporations, startups, and investors.

Extension and Engagement

Last, offices or divisions of engagement (sometimes extension, community relations, or outreach and engagement offices) foster engaged efforts to establish and attain educational and community goals and play an expert role in translating research into societal impact. Traditionally, these offices provide outreach, education, and technical assistance to individuals, communities, and organizations. Increasingly, these units actively invite communities to be partners

in research and educational processes to ensure that the benefits of research are accessible and applicable in practical settings. They build partnerships and work closely with the communities to identify and understand local needs and then co-develop solutions-oriented research that generates actionable knowledge. For example, challenges posed by climate change and natural hazards have increased co-production of knowledge, as communities provide critical data and voice concerns that in turn, inform mitigation and resilience strategies. With knowledge in hand, engagement offices can play a critical role in informing policy development at the local, state, and national levels. By providing evidence-based solutions, they help shape policies that benefit the community and promote sustainable development.

Research Leadership's Role in Paving the Road to Impact

Development and Incentives for Transdisciplinary Research

As discussed above, conducting transdisciplinary research presents new challenges and opportunities, and research offices must play a crucial role as advocates, enablers, and integrators.

An important first step for research offices is to engage university leadership and organize an integrated mind-set that recognizes the interdependencies of research, engagement, learning, and translation. Simultaneously, university leadership must encourage and incentivize academic faculty to work outside of their comfort zones. Once the landscape is set, research offices can encourage and facilitate collaborations that straddle the boundaries of academic disciplines and the organizational divisions, and serve as brokers to connect the university to external stakeholders. The growing ranks of non-tenure-track academic professionals—e.g., project managers, coordinators, professional researchers, and practitioners involved in research translation, extension, and engagement— also need to be positioned and advanced for their successes as credible brokers that build relationships and enable collaborations across sectors and disciplines.

Within the research office, new skills and expertise that are central to transdisciplinary research frameworks must be established. First, research offices should consider providing professional development and research advancement opportunities for researchers who seek to lead or participate in such complex solutions-oriented projects. Second, research offices need to manage—and ease—the bureaucratic and relational complexities of interdisciplinary, multi-institutional and multisector research projects. Such projects often involve multiple external partners, each with a different amount of influence and access to research infrastructure, and each with its own goals, timelines, priorities, and financial and incentives systems. Research offices can help manage this complexity by creating a collaborative landscape that facilitates and supports transdisciplinary teams through proposal development, research execution, and award completion.

Recognition of Innovation, Entrepreneurship, and Impact

As societal challenges become more complex, the research enterprise responds by employing approaches to elevate its contributions to solutions and live up to the promise of twenty-first-century institutions. Transdisciplinary is one key approach and in many cases, has embedded within it many nontraditional research activities, including community engagement, open science, team science, and inclusive practices. Innovation and entrepreneurship are critically important, and they are a growing part of the research enterprise. All of these new approaches enable new, often more

accessible, forms of scholarship and innovation that may be undervalued, overlooked, or even serve as a hindrance to professional advancement. The systems of reward and advancement in universities, especially how they assess research activities, innovation, and entrepreneurship, must evolve as the demands on the research enterprise have.

To that end, promotion and tenure reforms are needed to attract and retain diverse talent who embrace less traditional forms of scholarship and also drive innovation. The academy is showing signs of softening to the idea as well. For example, the National Academies of Sciences, Engineering, and Medicine has hosted convenings and commissioned several papers on the topic (see list of references) and the NSF-funded Promotion & Tenure Innovation & Entrepreneurship discussed previously has started a national movement to holistically consider the rewards and incentives for promotion and tenure, and the Association of Public and Land-grant Universities is host to an initiative to modernize scholarship and advance reward and recognition for research that improves lives and society. Research offices have a leadership role and responsibility to advocate for enabling the recognition of impact and the many different research activities that contribute to it.

Establishing a Strong Research Superstructure and Infrastructure

Last, the role of the research leadership as enablers of transdisciplinary research with lasting and meaningful impact cannot be accomplished without a modern and proactive administrative superstructure and state-of-the-art physical research infrastructure.

Traditional grants and awards administration is built on a model exemplified by typical NSF grants and one-off industry-funded research projects. Over the last five to ten years, many universities have seen an increase in the success of faculty in attracting funding and leading more complex proposals. However, this growth comes with staffing and workload challenges, resulting in inadequate support for needed services.

To significantly increase research and its impact, universities must develop a robust *superstructure*: the talent, capability, and support of long-term, multi-unit administrative teams to help researchers build competitive proposals and to support successful implementation of these complex projects. This can involve complex funding scenarios, innovative capital construction needs, sophisticated project management teams, multilateral agreements, nonstandard insurance and risk management issues, complex legal and compliance issues, sophisticated financial reporting, audits, and other complexities. With appropriate resources, the university will be able to provide critical support for the administration of strategic research awards that are key to propelling their reputation and impact going forward.

Finally, there is a growing emphasis on physical infrastructure. As technology and innovation have grown, so have the number and variety of state-of-the-art facilities and instruments needed to support research excellence. Increasingly, universities are serving as centers that support the national research enterprise, serving agencies and the academic community writ large. Ongoing operations and maintenance expenditures have assumed a higher priority in both federal and university research budgets, raising the question of how to invest strategically to support research most efficiently. The research office must balance investments among ideas-driven projects versus the infrastructure that supports them.

Summary

Research-intensive universities play critical roles in the creation and translation of knowledge. Increasingly, they are partners with industry, governments, and communities in solving complex problems at the intersection of foundational knowledge and societal need. Transdisciplinary research is a rapidly expanding component of the research office portfolio, crossing traditional academic boundaries, creating new scholarly outcomes, and including stakeholders in the process. Research offices must partner with university senior leaders to provide holistic support for faculty to assume complex transdisciplinary projects, and to create a reward system for innovation, entrepreneurship, and societal impact.

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Chapter 8. Creating a Safe Community

Dr. Ed Ray

Chapter Overview

Over the last decade a great deal of attention has been focused by institutions and state and federal law enforcement on issues of domestic abuse and sexual violence on campuses. Too often the focus has been on protecting institutional reputations and whether a case can be proven in court. Too little attention has been paid to the needs of survivors. In fact, the term "institutional betrayal" has emerged to describe the situation in which victims get little support from institutions sworn to keep them safe. At the same time, the Civil Rights Commission and other federal, state, and local authorities have demanded that colleges and universities do more to punish offenders, protect the rights of the accused, and support victims in a timely way. How do colleges and universities wishing to be responsible respond to those demands?

As is the case throughout our society, students, faculty, and staff experience problems with physical and mental health, drug abuse, and family needs. Best practices for addressing these fundamental personal and family needs should be developed and shared across the academy.

Sometimes the people who are supposed to protect us pose a threat to us. Police brutality on and off campuses is a too common occurrence in our society. Should campuses rely on local police for protection or have their own public safety programs?

- Domestic violence, sexual assault, and institutional betrayal.

Victims of domestic violence and sexual assault often feel that they are betrayed by those they trust who abuse them and then betrayed again by the college/university seeking to protect an institution's reputation. Beyond litigation that may succeed or fail, what can institutions do to better serve the needs of victims? How do institutions respond responsibly to external demands to punish offenders, support victims, and respect the rights of the accused?

- Substance abuse, mental health, family services.

What are the most effective programs in academic institutions to address drug abuse and mental health problems among faculty, staff, and students? What are best practices of a college/university that is serious about providing work-life balance for faculty, staff, and students?

- Public safety.

What is the most effective way to provide a safe living, working, and study environment for the campus community? Should institutions rely on local, county, and state police to meet their safety needs or develop their own public safety programs? Should campus police carry guns? Are there effective training programs for campus public safety?

Creating Safe Campus Communities

Dr. Larry Roper

Federal and state governments have created legislation to hold campus leaders accountable for campus safety and security. This legislation commonly focuses on requirements to track and report crime data, establish policies to protect campus community members from harm, and mandates to adopt procedures to share information with internal and external stakeholders. Public policies enacted by political leaders that attend to the physical safety of colleges and universities are generally viewed as important by campus participants and others. At the same time, campus leaders are also expected by their constituents to create and sustain social, educational, and work environments that attend to the emotional and psychological well-being of students, faculty, and staff—to address safety as being foundational to achieving inclusion. The calls for increased safety on campus can be heard from all segments of the campus community, but are particularly salient among those from underrepresented populations and those who consider themselves to be most vulnerable. Creating safe campus communities requires leaders to work from a comprehensive view of safety—addressing safety as a multidimensional construct that encompasses physical safety, secure spaces (including virtual), personal well-being, and concern for the overall welfare of those who work and learn on the campus and visit the campus.

Early Friday morning in mid-January, toward the beginning of my tenure as Vice Provost for Student Affairs, I received a call on my cell phone while I was off campus attending a community gathering at my son's school. The legal counsel at Oregon State University was calling to inform me that seven people—maybe students, maybe not—were illegally occupying the office of the Dean of Veterinary Medicine. I rushed back to campus and quickly consulted with several top university officials to gain insight into what was known about the incident. As we collectively weighed various alternatives for action, I got a call from the protesters asking me to come to the veterinary dean's office.

When I arrived there, I found seven women locked together in a metal device consisting of bars and chains called a "lazy dragon." It was designed so that anyone attempting to remove them would have to remove the entire group at once. The protesters were accompanied by individuals with a video camera and a cell phone, the latter to link them to other protesters outside the building. I was able to determine that the protesters were a mixture of students and non-students, but they all belonged to a group calling itself the Vegetarian Resource Network (VRN).

The protests were aimed at drawing attention to concerns about the invasive surgical procedures used in a "small animal surgery" course, which required that the animals used in the course be euthanized following the teaching of techniques. The history of protests of the course had occurred over an extended period and involved such activities

as picketing the laboratory storage facility, leafleting the campus, writing campus editorials, and engaging in a several days' fast, inside animal cages, on the university's quad. The more dramatic and disruptive efforts, which were greater sources of controversy, were picketing the home of the dean and staging a takeover of the dean's office. The picketing and takeover activated fear and concern for the physical and psychological well-being of those associated with the college and the course—students, faculty, and staff. Because of my role in student affairs, I was called upon to intervene in the takeover and work closely with campus police, the dean and office staff, and faculty to get the protesters off the premises and address the immediate and anticipated ongoing threats posed by having their office being taken over, having the flow of their work disrupted, and having their professional activity challenged in such a dramatic way. After daylong conversations we were able to get most protesters to leave the office; some opted to be cited by local police. Ultimately, through a collaborative process among protesters, faculty, and other campus facilitators, supported by a W. K. Kellogg Foundation grant, over the next year we were able to bring an end to the protests and challenges to the course.

The significant lessons I learned from involvement with this incident, include: how I "show up" during incidents matters to all parties; showing up as a university leader is more important that showing up as my title; views of the world can be reconciled through conversation and shared commitment; there are always educational responsibilities and challenges embedded in controversies; and the importance of leading from the center (the importance of placing our educational values and mission at the center of the issues at hand).

Because the dean and faculty felt directly threatened by the incident, their expectation was that I would be on their "side" when addressing this incident. At the same time, the students, whom I had come to know very well, expected that I would be their ally and support their concerns. Some of the faculty and office staff who were present during the sit-in saw my "friendliness" with the students as an indication that I was not on the side of those in the college, while the students saw my convening in private conversations with other university officials as me possibly colluding against them. Successful execution of my leadership role in that moment required that I be viewed as being on everybody's side, which meant that when working to resolve the incident, I did not have the luxury of closing off our ability to communicate with those who were at odds. As leaders, we are charged with providing effective leadership for all community members no matter their attitudes or politics. As such, we must show the ability to navigate extremes. By not choosing sides we create the potential to be an ally to all community members. At the same time our roles challenge us because during times of conflict on campus, others expect us to take a stand and choose sides. But because we are charged with responsibility for representing and supporting the growth of all students, faculty, and staff, we must learn to manage living in the middle and to straddle warring ideals. This is a difficult place to be.

College and university leaders, students, families, and other stakeholders have a mutual interest in creating safe community environments. During campus admissions tours, high school visitations, at community outreach events, and other activities for prospective students, among the most frequently asked questions I've encountered (particularly from family members) is "how safe is your campus?" Generally, those questions about safety are in reference to concerns about physical violence or property crime experienced by a campus community. But as many institutional leaders have come to recognize, discussions of campus safety now revolve around a much broader set of concerns. Thus, conversations about the role of leaders in creating a safe community not only emphasize leaders' responsibility to mitigate incidents of violence and do what they can to protect campus constituents from physical harm, but also emphasize their responsibility to create spaces that ensure emotional, psychological, and personal well-being. As a leader, I

found that it was essential for me to recognize that safety is a multidimensional construct and that feeling safe is foundational to student success, faculty and staff achievement, and nurturing a sense of community within the campus.

I came to rely on my understanding of Maslow's hierarchy of needs as a helpful tool for making sense of the relationship among safety, human needs, human behavior, and to infer my campus leadership imperatives. According to Maslow, the most fundamental human need is physiological (e.g., for food, shelter, clothing). Some campus leaders have invested in addressing these basic physiological human needs because of how pivotal they are to our ability to attract and retain the most profoundly needy students. For example, at Oregon State University, in 2005, we established a Human Services Resource Center (HSRC) to address student basic needs. This program was an important intervention to reduce the marginality of students who had less access to needed resources than many of their peers. These basic needs interventions were a first step in providing safety from hunger, homelessness, and other poverty-related threats for students.

The next two important needs identified by Maslow are, in order, *safety* and *love and social belonging*. Discussions of creating safe campus environments should focus leaders' attention on the connection between these two needs and the roles and responsibilities leaders have relative to facilitating campus development toward greater safety and increased sense of belonging. There is a powerful relationship between feeling personally safe and one's ability to experience a sense of community on a campus. As I discuss the challenge and responsibility of creating a safe community, I will describe the dual task of attending to the physical and psychological dimensions of a safe community.

State and federal governments have provided substantial legislation and guidance to hold campuses accountable for ensuring the physical safety of campus community members and visitors. The Clery Act, also known as the Student-Right-to Know Act (Clery Center, n.d.), which was created in the 1990s and has been amended numerous times, provides a common standard for what the federal government deems important to monitor, with regard to campus safety. The Clery Act grew out of the advocacy of the parents of Jeanne Clery, a Lehigh University student who was murdered in her residence hall in 1986. The primary requirements of the Clery Act are that each campus produce an annual crime report and make it available to current and prospective students and employees; that the campus safety/security office maintain a detailed log of all crimes reported to them; that campus officials provide timely warning of incidents that might represent a threat to the campus; and that campuses must maintain eight years of crime statistics for incidents occurring in residence halls, surrounding non-campus buildings, and surrounding public property. The helpfulness of Clery is that it enables campus leaders to consult and collaborate with colleagues at other institutions to ensure that they are performing in compliance with federal expectations and the act provides a relative standard for comparing the safety of different campuses, based on published data.

Users of campus facilities need to feel confident that unauthorized individuals will not gain access to those spaces and that their safety will not be compromised. Collaboration among academic leaders, facilities leaders, campus identification card administrators, and others is necessary to achieve a successful security system that safeguards buildings for facilities users. Senior leaders on campus need to work together to ensure a spirit of collaboration among those who have responsibility for daily operational aspects of campus safety processes. The important points to understand are that campus safety is managed at all levels of campus leadership; it is important in all domains of the campus; and it is a concern for all campus community members. Creating a safe community is a matter that requires broad leadership, collaboration, and shared ownership.

Beyond the Clery Act, the other prominent federal policy that requires significant attention and resources is Title IX (Office for Civil Rights), particularly the section of the law that emphasizes campus safety and institutional responsibility in the area of sexual harassment and sexual violence. This legislation, like the Clery Act, continues to evolve as different presidential administrations amend the guidance. Consequently, campus approaches to compliance with Title IX will be fluid, based on the standard by which campus response will be evaluated by the federal government. The consistent expectation of campuses is that they have in place a designated Title IX officer; a clearly defined and published policy; processes to educate community members about Title IX; a clearly defined reporting structure; processes for investigating and adjudicating alleged violations; along with other expectations. Because Title IX incidents invariably involve the dynamics of sex, gender, and, sometimes, race and culture, these incidents can result in tense, polarizing, and challenging dynamics for leaders. The qualities and leadership character of Title IX leaders are pivotal to Title IX programs' success and credibility. As with other campus safety issues, Title IX leaders play a meaningful role in ensuring that a collaborative and cooperative ethos exists and that they network with all campus units to construct the necessary working relationships.

There is growing awareness of and sensitivity to the tension between responding to perceived safety concerns of a community and the potential for racial profiling, stereotyping, and implicit bias in treatment of potential perpetrators. Failure to successfully negotiate these challenging human interactions can result in tense leadership dynamics. Poorly executed responses can send a message to some community members that they either do not belong or that their presence is being treated as if it were problematic. This is especially important given the attention to and sensitivities to inequities in policing and the mistrust that exists among many campus community members.

Though we were clear on our processes and procedures for addressing issues that compromise the physical safety of our campus community, there was almost always messiness in responding to the affective reaction of community members to administrative responses to cultural/identity-based incidents. Even the most casual observer of current campus dynamics knows that campuses have been confronted by activism and protests over concern with the perceived lack of urgency in institutional response, appropriateness of action taken by institutions, or the incongruence between the institution's response and the institution's expressed values of diversity, equity, and inclusion. It is this arena of creating a safe community that poses the greatest challenge to leaders, because leadership at this level seldom has policy guidance. Leading toward the creation of a sense of belonging cannot be distilled to an administrative process. Creating a campus that affords safety through a sense of inclusion is much more challenging, as it requires emotional engagement, risk-taking, high-stakes conversations, and personal vulnerability.

While there is an expectation that leadership for a safe community starts with the president, it is the responsibility of leaders throughout the organization to construct and implement processes and programs necessary to create an emotionally and psychologically safe campus. I recognize that the range of responsibilities for which campus leaders are held accountable can often seem exhaustive and feel exhausting, but, issues of safety cannot be an afterthought. During my time in my various roles at Oregon State University (Vice Provost for Student Affairs, Interim Dean of Liberal Arts, and Interim Director of the School of Language, Culture and Society), my faculty and administrative colleagues expressed feeling especially taxed by the range of roles they are asked to assume and the accountability they bear for addressing the issues that students and others bring to the campus. Faculty colleagues experienced great anxiety at trying to enact approaches to create safe classroom learning environments. Leaders at all levels expressed trepidation about their ability to create culturally respectful norms within work groups and to nurture civility and

cultural safety for the diverse mix of people in their organizations. Some leaders identified their need for support in responding to and engaging appropriately with colleagues whom they viewed as highly sensitive to and aware of the dynamics of "isms" that surface in campus interactions. Some expressed concern for how to respond when openly confronted about what others identified as their inadequate leadership in promoting a safe work or learning environment. Leaders throughout our campuses need support to cultivate the knowledge, skills, and awareness to advance the safety needs and expectations of campus community members. We need to be clear about where responsibility for that learning resides and to be directive in ensuring that such learning is an ongoing activity.

It is important to acknowledge the perilous landscape with which campus leaders are confronted. In our current context, we have witnessed leaders being relieved of their roles because of negative judgments about their cultural sensitivity, the sufficiency of their actions, the words they used to describe situations or explain their actions, and the appropriateness or the timeliness of their response. There are numerous examples of faculty members being challenged and, in some cases, dismissed because of culturally questionable assignments or nomenclature used to discuss course material. Rightly, we have witnessed dismissals that were justified based on clear violations of the human dignity, safety, and well- being of others. It is understandable that a climate such as the one in which many are leading can provoke trepidation on the part of some. However, the gravity of the issues at play demands whole-hearted response. When it comes to the safety of campus community members, leaders are presented with the choice of whether to take the perceived easy path or the path that will best benefit their community, recognizing that the more complicated path may bring with it more inherent risks.

Throughout my time as a campus leader, I found that many students would arrive at campus unprepared to engage with the diversity of those around them, in ways that aligned with the aspirations we have for our community. When some students arrive on campus, they join organizations, some of which have traditions and rituals that contradict our espoused values. Because of a lack of awareness and minimal prior interaction with individuals from diverse cultural backgrounds, some students inadvertently say things or do things that compromise the feelings of safety and dignity of their peers or other community members. At the same time, other students, with forethought, engage in behaviors to target others in ways that cause the targeted individuals to feel violated and disrespected. Our response to this range of behavior will speak volumes about our commitment to safety, our educational commitments, and the faith we have in the efficacy of our educational interventions to transform behavior and cultivate the type of campus climate toward which we aspire—there is legitimate tension between achieving a safe community through educational processes and achieving our desired outcomes through punitive means.

I knew that my response to incidents would be seen by some as an indication of our university's readiness to educate the students who came to us. I also knew that if my first response was to immediately distance myself and the university from students who demonstrated socially unacceptable attitudes, I would be making a powerful concession about our educational limitations and our ability to show compassion toward students who had not yet achieved their full humanity. To some, taking an educational approach could be viewed as dishonoring the seriousness of the insult or injury for the targeted individual. While I often experienced my own frustration, anger, and disgust at the hurtful behaviors directed at others, I also knew that those emotions on my part were not compatible with the mission of reinforcing leadership expected of me. I also knew that my response to those who create unsafe environments for others could also become a source of tension within the community.

During my first couple of years at Oregon State University, we experienced a racist incident in which a White student urinated on and shouted racial epithets at an African American student who was walking past a fraternity house on a Friday evening. As one might expect, the incident created an immediate uproar and stimulated outrage throughout the campus, including numerous threats of harm directed at members of the fraternity. The student who was the target of the assault called me at home shortly after the incident occurred. I immediately went to campus to visit with him and to ensure that he got connected to the necessary supports. The next morning, I called the fraternity's president and asked him to call a house meeting of all members of the fraternity for Sunday evening. When I went to the fraternity house, I discussed the incident with those present and set the expectation that by noon the following day I expected to hear directly from the fraternity's president the name of the person responsible for the assault. At the same time, I asked them how they were feeling about the threats directed toward them, the demonstrators who showed up outside the house on Saturday, and the characterization of the fraternity members as being racist?

As an African American, I had to manage my own deep anger in order to exercise my responsibility to attend to the safety of the victim of the assault, the perpetrator and other members of the fraternity, and students, faculty, and staff of color who expressed feeling unsafe on campus and in neighborhoods where fraternity houses were located. The aftermath of the incident necessitated deep community engagement, including several town hall meetings; discussions with faculty; meetings with members of underrepresented groups; and responding to calls from parents, alumni, and others. Calls from two groups were particularly reflective of the leadership challenge before me, as I received calls from parents of Students of Color and parents of fraternity members, all wanting to know what I and the university were going to do to ensure the safety of their student. As was suggested earlier, the student conduct process was well-defined, it allowed for a clear path to adjudicating the incident and reaching a sanction for the offending student. However, addressing the fear, disgust, anger, racism, perceived privilege, and other dynamics revealed and created by the incident took far more time and had no prescribed process. As a leader, I felt extremely vulnerable during this time. While responding to such incidents, one's character and commitments can be challenged. In those moments, it becomes clear that facilitating in the direction of a safer community is not just an administrative task. Engaging with this incident, and so many others, involved navigating through the issue of safety to ensure that a sense of belonging was cultivated and reinforced and that the rights of all involved were protected. When we lead toward the creation of a safe community, we are charged with doing so on behalf of all community members.

Successful leadership and an educationally consistent response to the above incident required the negotiation of a nuanced relationship between our university's president and me as the student affairs leader. In this incident the power of the president's voice was utilized to reinforce and elevate the institution's core commitment to diversity and inclusion, while my leadership was exercised to lead the community through the resolution of the incident through our student conduct system and the continued pursuit of a more positive campus climate. During response to the racial violence incident, restoring a sense of safety and cultivating a sense of community were concurrent processes. It should also be noted that the above incident demonstrates how essential it is to have a robust and competent internal and external communications infrastructure, as dialogue and transparent communication with our community members were foundational to our recovery.

In the face of the current high-stakes issues that have been thrust upon institutional leaders, we must demonstrate the courage to walk into the heart of our communities' struggles and show the courage to lead. Our communities need engaged, values-informed stewardship—leadership that is thoughtful and conscious, and that is respectful of the lives

and life situations of those presenting the issues. We need leaders who are keenly aware of their own personal values, politics, and histories and who are able to balance those factors with their responsibilities to serve the mission and articulated commitments of their campus.

When we are presented with the question, "Is your campus safe?" we will not have a neat and clean answer. We can certainly respond with comparative data from our Clery report to tell the story of how our campus numbers compare to others. But, certainly, numbers do not tell the story about whether we can declare our campuses safe. We can begin our response by asserting the metrics that we reported to the federal government and what we feel they say about safety on our campus. At the same time, we should be able to affirm to the questioner that we have put in place leadership and education to create and sustain a campus culture that is increasingly focused on making our campus a safe place from physical and property crimes, as well a place where each person has the ability to feel emotionally, psychologically, and culturally safe. Leadership for a safe community demands that leaders nurture a sophisticated view of the dimensions of campus safety and that we communicate our understanding through our leadership, communication, and personal engagement with incidents.

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Engaging New Approaches: Mental Health and Well-being on our College Campuses

Dr. Jack J. DeGioia

Our nation's colleges and universities have deep histories of supporting the full development—the formation—of our students. The work of formation is integral to the mission and purpose of our institutions, alongside a commitment to the pursuit of knowledge and the promotion of the common good of the communities in which we are situated. These three elements—formation, inquiry, common good—have formed the core mission of the university for millennia. In recent years, mental health and well-being has emerged as a significant priority and challenge for our campuses. We have new resources—developments in our understanding of neuroscience and cognitive science, the emergence of positive psychology, the psychology of "flow"—that are now available to us as we imagine new structures to support mental health and well-being. There is an urgent need for all of us to engage new strategies and approaches as we work to respond to growing and significant mental health needs identified by our communities. This chapter will seek to answer three questions: how do we understand the current challenges facing our students; what are the resources we have available to us within our campus communities; and what can we do to strengthen our communities to meet the needs of our students?

At a time when the headlines are filled with worrying statistics about young people's health and well-being, we can look to our college and university campuses for models of support that are available within these institutions—and we should challenge ourselves to do more to help our communities flourish. We have opportunities—institutional structures—to support the mental health and well-being of our students that are unparalleled in the rest of society. This essay delineates the institutional resources that colleges and universities provide in responding to the challenges facing our young people.

Adolescent Mental Health and Our Campuses

The average onset of a mental illness occurs during the ages of sixteen to twenty-four, a moment when many young people—more than sixty percent of our young people—will spend some time on one of our campuses (Bureau of Labor Statistics, U.S. Department of Labor 2022). As Thomas Insel, the former director of the National Institute of Mental Health, tells us: "Seventy-five percent of people with a mental illness report onset before age twenty-five" (Insel 2022).

Frances Lee and coauthors describe an insight provided by Ronald Kessler and his colleagues in 2005: "One in five adolescents have a mental illness that will persist into adulthood" (Lee et al. 2014). Our nation's postsecondary institutions have a unique opportunity in our society to intervene with support and services at a critical moment in the lives of our young people.

The work ahead: How can we engage the imagination and creativity of our campus communities in response to these challenges?

Extraordinary research into the nature of mental health and illness, adolescent development, clinical interventions, and neurology have emerged over the past century. New approaches to care—beginning with the introduction of talk therapy to a new mental hygiene movement in the early half of the twentieth century were supported by developments within the higher education community, including the establishment of the American College Health Association in 1948. Over the past four decades discoveries in psychopharmacology, the invention of Functional Magnetic Resonance Imaging, and the development of the field of Positive Psychology have contributed to our capacity to care for our young people. Our colleges and universities contribute to this work.

Our campuses provide the strongest possible contexts for addressing issues of mental health and well-being in our society. We have the ability to create intentional communities of care on our campuses, guided by new insights and practices that emerge from the scholarship and research of our faculty. We can coordinate elements of care—ranging from peer counseling to efforts at prevention of harm to self and others, from health education to practices focused on building strengths.

Institutional Structures and Student Mental Health and Well-Being

There is a salience between the challenges facing our young people in critical moments of adolescent development with the capacities and capabilities of our institutions of higher learning. These capacities and capabilities emerge out of three elements that have constituted the idea of the university for a millennium. We support the formation of our students, the inquiry of our faculty, and we contribute to the common good of the communities in which we participate. These three elements are inextricably linked, mutually reinforcing, and cannot be unbundled without risking irreparable harm to the integrity of the enterprise. Together, these three elements constitute the structural integrity of our schools.

All three elements can contribute to addressing the current challenges of mental health within the context of the adolescent development that takes place during the years when our young people join our communities.

Formation

Formation captures the work in which each student is engaged throughout their years on our campuses: they are establishing their own sense of identity. Our students are living the questions that enable each of them to become a distinctive self.

Formation can occur in many different settings: in a religious order, in military training, in an entrepreneurial venture, among many others. What distinguishes the setting of the college and university is the central place of and the emphasis on knowledge. Students are introduced to disciplines and methodologies for engaging in the work of knowing. Students learn how to integrate, challenge, and critique knowledge—how to see patterns, make connections, and identify anomalies. The acquisition and dissemination, the discovery and construction, the interpretation and conservation of knowledge, together determine the orientation of the university; it is the work of our colleges and universities. It is this commitment to knowledge that differentiates the college and university from other settings.

The work of formation—wherever it takes place—is ultimately about identifying the conditions that will sustain human flourishing. In its original context, flourishing is captured in the Greek word *eudaimonia*. Eudaimonia seeks to capture the balance between and among a range of virtues and goods that constitute our humanity. Many different approaches to eudaimonia have been put forward since it was first introduced by Aristotle in the *Nicomachean Ethics*. Eudaimonia is best understood to capture a sense of human flourishing. For Aristotle, to flourish involves the exercise of what are characteristic human virtues—courage, justice—in support of the pursuit of goods, like friendship, practical wisdom, and pleasure. The exercise of these distinctly human virtues and the realization of these goods constitute human flourishing.

The contemporary philosopher Charles Taylor builds upon this tradition. Taylor argues that in modern discourse an element of flourishing is found in the term "authenticity." Taylor finds this idea of authenticity first captured in Johann Gottfried Herder's idea "that each of us has an original way of being human" (Taylor 1992b). Formation is the work of finding this originality—the authenticity of each of our lives. An authentic self is one living in accord with one's most deeply held values, one capable of resisting the forces of darkness that are always pulling one away from the goods that enable one to realize authenticity. One's decisions and actions are informed by these values, these goods. The goal is to achieve alignment between these goods and one's decisions and actions (Taylor 1992a).

This work of formation—and the pursuit of a sense of flourishing—has two dimensions in the settings of our colleges and universities: first, we support the formation that is possible through our commitment to knowledge, our commitment to what the historian John O'Malley, S.J., describes as the "style of learning and discoursing . . . the analytical, questing and questioning, restless and relentless style" that characterizes the modern academy (O'Malley 2006).

In addition, we support the interior work of each student, in the process of learning how to make meaning in one's life. Colleges and universities provide places for protecting and nurturing resources of incomparable value for deepening self-understanding, self-awareness, self-knowledge—resources that support the interior work of making meaning in one's life.

Our institutions have long provided a multitude of resources that complement the work in our classrooms and laboratories, libraries, and seminar rooms, ranging from co- and extracurricular programs in the performing arts, to volunteerism and community service, intercollegiate and intramural athletics, campus newspapers, literary magazines, and programs in residential living. These opportunities support the pursuit of a self-identity capable of attaining a sense of authenticity, a constitutive condition of human flourishing.

For our students wrestling with a range of issues related to their mental health—when as many as one-fifth will experience a mental illness that will persist into adulthood—addressing these challenges takes place within this context of

formation. This adds a new dimension to the work of establishing one's identity. Mental illness can become closely identified with one's identity. Navigating this challenge—ensuring that one's identity is not disproportionately correlated to a diagnosis of mental illness—is a special dimension of the work that many of our young people face.

Inquiry

Formation can take place in many contexts. In the context of the university, the work is centered on knowledge. Those most capable of organizing this work are the members of our faculties. This work orients their lives—the work they bring into the university and the time they spend with our students, bringing them into the flow of their way of seeing and understanding the world. University faculty members seek to understand our world, in all its complexity, and they dedicate their lives to that endeavor, adopting a way of life that immerses them in the pursuit of understanding and in sharing this understanding.

Formation within the university is predicated on the interaction of students with faculty. Faculty members serve as guides for students engaged in the process of personal exploration as well as being immersed in their scholarly projects. John Henry Newman provides an important insight into the conditions for scholarship: "This I conceive to be the advantage of a seat of universal learning... An assemblage of learned [women and] men, zealous for their own sciences, and rivals of each other, are brought, by familiar intercourse and for the sake of intellectual peace, to adjust together the claims and relations of their respective subjects of investigation. They learn to respect, to consult, to aid each other. Thus is created a pure and clear atmosphere of thought, which the student also breathes" (Newman 1982).

The work of scholarship is strongly sustained by a sense of place that enables a community to be built and sustained.

The research and scholarship of the faculty throughout higher education have contributed to the important developments that have emerged throughout the past century. Beginning in the 1970s, psychiatric medicine has been characterized by an explosion in the use of medication. Discoveries have occurred throughout a continuum from basic science to drug discovery. The life science ecosystem that includes our campus laboratories, academic health centers, the National Institutes of Health, and biotechnology and pharmaceutical companies have all contributed to these developments in psychopharmacology.

In 1998, Martin Seligman and Mihaly Csikszentmihalyi developed the term "Positive Psychology" to capture a new approach, building from Aristotle's understanding of eudaimonia, as an alternative to the field's long-standing disease model. This approach focused on character and emphasized the strengths of the individual, even developing an alternative to the American Psychiatric Association's psychopathology classification model provided in the *Diagnostic and Statistical Manual of Mental Disorders*—first published in 1952—and now in its fifth edition. In 2004, Seligman worked with Christopher Peterson to publish their alternative, *Character Strengths and Virtues*.

New research in the study of the teenage brain, made possible by new technology in brain imaging, is providing new insights into the role that brain development can play in understanding the health of our young people. While these developments are among the most recent developments in our understanding of the brain and do not yet provide

sufficient evidence for clinical intervention, this deepening understanding may reveal insights that can inform future clinical care.

Although these developments have shaped the range of responses, little is settled among scholars and care practitioners. The work of inquiry requires that our campuses continue to contribute to our understanding of how best to support the formation of young people and respond to the challenges of confronting mental illness.

Common Good

Every school—community college, college, university—contributes to the common good of the communities in which they participate. These communities may be local, national, and even global, depending on the specific reach of the school.

Different expectations are projected onto universities. The expectations, in this public role, can include preparing a workforce; developing a regional economy; strengthening national identity; enhancing economic competitiveness, both locally and globally; balancing and ameliorating social inequities; developing citizens; contributing social capital; and playing a role in developing public goods. While these expectations evolve over time, together they constitute the ongoing public and political discourse about the role of universities today. A distinctive characteristic of the university is that knowledge that is attained is to be shared.

The work of our universities is sustained by the communities that are built on our campuses. Campus communities provide models for supporting both the formation of the self-identity of our students and for addressing challenges to their mental health. Our communities can model the responses that are required in the larger communities in which we participate. Our students move out into the world and can bring with them the lived experience of what a campus community can mean and the conditions that can sustain one's mental health and well-being.

We can ask ourselves, in this moment:

- How can we more deeply connect the activities that support the work of formation with our programs that support mental health and well-being?
- How are we engaging new research, from across the academy, to shape a commitment to mental health?
- What programs and partners can amplify and extend our reach—on our campuses and into our local communities?

There are challenges—but we are uniquely capable of responding.

There are disturbing trends that have emerged in recent years.

In early 2023, the Centers for Disease Control and Prevention issued the findings of its *Youth Risk Behavior Survey 2011–2021.* Among the findings:

- The percentage of high school students who experienced persistent feelings of sadness or hopelessness

increased dramatically from 28 percent of those surveyed in 2011 to 42 percent in 2021 ("Youth Risk Behavior Survey: Data Summary & Trends Report" 2023).

- In 2021, 29 percent of high school students experienced "poor mental health during the past 30 days" ("Youth Risk Behavior Survey: Data Summary & Trends Report" 2023).
- Those seriously contemplating suicide rose from 16 percent to 22 percent ("Youth Risk Behavior Survey: Data Summary & Trends Report" 2023).

The statistics on suicide are particularly concerning. Others have found that:

- Overall, across the population, the suicide rate in America has increased by 30 percent since 2000, while the rate has dropped globally by 18 percent (Klein and Insel 2022).
- Suicide was the second leading cause of death for people ages 10–14 and 20–34. It was the highest for males ("Facts About Suicide").

The *Healthy Minds Study* is a national mental health survey of college student populations. The survey captures responses from seven hundred colleges and universities.

- Since 2013, students experiencing depressive symptoms has increased from 22 percent to 44 percent, and students experiencing symptoms of anxiety have increased from 17 percent to 37 percent (Lipson 2023).
- The Healthy Minds Survey shows an increase in rates of suicidal ideation from 6 percent in 2007 to 15 percent in 2021 (Lipson 2023).

These troubling statistics affect the work of formation in which each of our young people is engaged. Our campuses have long histories of providing "safety nets" to support our young people should they find it difficult to work within our settings. The focus of our campus-based efforts was in addressing risk behavior. We have had programs in place for decades to identify students engaged in behavior that posed a threat to themselves and others. The most dominant focus was on substance abuse—specifically, alcohol. Safety nets also tried to catch students in extreme distress.

The CDC's report on Youth Risk Behavior—which captured the rising concerns about anxiety, depression, and suicide—also identified areas of improvement in adolescent health and well-being, including declines in those engaged in risky sexual behavior and substance use—including a decline in alcohol use ("Youth Risk Behavior Survey: Data Summary & Trends Report" 2023). Years of focus on risky behavior have produced improvements. Our campuses provide deep resources—perhaps more than can be found in any other community setting in the nation—to support our students.

From peer leaders in the residence halls to the centers for counseling and psychiatry, health education outreach, and support groups—our campuses have deep and strong programs in support of the health and well-being of our young people. Our campuses provide opportunities for experimentation in new approaches to support and development for our students and our communities.

Some examples of creative engagement taking place on our campuses:

- Colleges are establishing dedicated campus spaces for informal and formal activities that promote well-being. Worcester Polytechnic Institute's Center for Well-Being, launched in early 2023, provides quiet spaces for meditation, yoga, art, and reflection and programs on nutrition and healthy eating in a central campus location, embedded with other campus health services.
- Colleges are integrating services and offering programming focused on flourishing. Led by health and wellness leader Kelly Crace, William and Mary has integrated the offices of student health, counseling centers, campus recreation, and health promotion, and created a Center for Mindfulness and Authentic Excellence (CMAX), which "promotes the research and application of the principles of values-centered flourishing, mindfulness, and integrative wellness" through a variety of trainings and programs for the university community ("Center for Mindfulness & Authentic Excellence (CMAX)," n.d.).
- Colleges are engaging national frameworks. In 2017, the Steve Fund and The JED Foundation developed "The Equity in Mental Health Framework," a set of recommendations focused on the experiences of students of color on college campuses. Eighteen schools are piloting the framework, with goals adapted for their campuses. Related frameworks focused on health promotion include the Healthy Campus Framework at the ACHA (American College Health Association) and the Okanagan Charter, signed by one hundred international members.
- Colleges are bringing mental health and well-being into the classroom. Since 2005, the Engelhard Program for Connecting Life and Learning at Georgetown has enabled more than 150 faculty members across disciplines to partner with campus resource professionals to design courses that incorporate topics of mental health and well-being into classroom discussion.
- Colleges are creating options for digital engagement. The Ohio State University's Wellness App lets students set goals, create personalized wellness plans, and access critical information and resources.
- Colleges are focusing academic research on mental health and well-being to change policy and practice in regional, national, and global communities through centers like CUNY's Center for Innovation in Mental Health in their Graduate School of Public Health and Health Policy and the University of Pittsburgh's Center for Research on Innovations, Services, and Equity in Mental Health (RISE-MH) in their School of Social Work.

Going Forward

The question we are asking of ourselves now: Where can we contribute to enriching the culture of care and the discoveries that will ensure that we can strengthen the mental health and well-being of those facing difficulties?

In his recent book, *Healing*, Thomas Insel presents what he calls the "40-40-33 law."

He writes: "Less than half—actually close to 40 percent—of the people identified with a mental illness in epidemiological studies are in care. Of these, only 40 percent receive 'minimally acceptable care,' meaning that the treatment is based on some scientific evidence. That means that only 16 percent (40 percent of 40 percent) have any likelihood of improvement from treatment. And for most treatments, whether psychosocial or medical, in the ways they are delivered today, only about one third respond sufficiently, one third receive some benefit, and one third do not respond.

Thus, if 33 percent of 16 percent can be expected to get well with treatment, only a little more than 5 percent of the total population is fully better, what clinicians call 'in remission'" (Insel 2022).

Our campuses can defy the 40-40-33 law. The concentration of resources and the strength of our communities can contribute to improved access and outcomes. We are capable of coordinating our resources—psychiatric medications, counseling, peer support—and ensuring that the discoveries that have emerged through community-based approaches contribute to the strengthening of our campus communities.

If we can defy Insel's 40-40-33 law within our campus communities, perhaps we can share our insights in ways that will converge with new developments in our approaches to community mental health. Federal funding to support Certified Community Behavioral Health Centers and investments in children and family mental health services provided in the Bipartisan Safer Communities Act of 2022 represents unprecedented investments—more than $10 billion—in our nation's infrastructure in support of mental health. Our college and university communities, through our experiences in support of our young people, coupled with the research we are developing and sharing, can enable us to provide an urgent and important contribution to the common good of the communities we serve.

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Institutionalizing Courage to Create a Safe Community

Dr. Jennifer Joy Freyd and Dr. Kathryn Becker-Blease

Institutions of higher education thrive when they meet the needs of their members. Yet when members of the university community speak up about harm they have experienced, institutions too often act in ways designed to protect the reputation and comfort of the institution and—worse—abusers within the institution, at the cost of those who have been harmed. This institutional betrayal is especially likely when administrators, staff, faculty, alums, trustees, and students care highly about a highly regarded university. As we have seen time and again, institutional betrayal does not protect the institution in the long run. Instead, the damage to institutions and their leaders when the truth about years-long abuse emerges continues to appear in the press. The antidote to institutional betrayal is institutional courage. Good leaders must personally care and be sure survivors feel they are cared for. Great leaders go beyond that; they institutionalize courage through specific, tangible actions. They create a culture through enduring practices, policies, models, and language that give members of the community the power to respond in ways that meet the courage of abuse survivors and whistleblowers with the institutional courage to act. In this essay, we describe eleven key actions to promote institutional courage, with key examples of how higher education leaders have empowered their institutions to act with integrity and courage to protect their most vulnerable members for the long-term good of the institution.

Every university hopes to offer a safe, equitable, respectful community for students to learn and live in. University leaders must take action to prevent sexual harassment and violence, and they must do so in a way that addresses safety, equity, and respect. Sexual harassment and violence are persistent threats to student (and employee) safety. In the 1960s, universities required curfews, dress codes, and parental permission to visit boyfriends' homes to keep women safe in college (Allchin 2012). In 1990, several years after first-year student Jeanne Clery was sexually assaulted and murdered in her campus residence, the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act was passed. But warning students and disclosing crime statistics were insufficient to stop sexual violence on college campuses. In fact, Clery warnings can themselves spread the belief that sexual assault is normal, focus attention on rare forms of sexual violence, and put the responsibility on potential victims to stop sexual violence (Adams-Clark et al. 2020).

Thanks to the efforts of college students including Annie E. Clark and Andrea Pino and an important Department of Education Dear Colleague letter in the early 2010s, it became clear that in fact gender-based harassment and violence

created an inequitable learning environment (Steinhauer 2014). Not only must college leaders create a safe environment, but they must also create an equitable place to live and learn. To do that, universities could not just restrict what women wore or where they went, either through express prohibitions or gender-based behavioral norms. Later, it became clear that Title IX protects students on the basis of gender identity and sexual orientation, classes of vulnerable students that receive too little attention ("US Department of Education Confirms Title IX Protects Students from Discrimination Based on Sexual Orientation and Gender Identity |US Department of Education," n.d.). They needed to actively prevent and stop some students and employees from harassing and assaulting other university community members.

Today, the question of how to create safe, equitable, and respectful communities continues. The challenge is to respect the rights to privacy and autonomy that all members of the university community enjoy while preventing and stopping sexual harassment and violence. By tuning a moral compass with each of these values in mind, university leaders can balance these key values, act with courage, and create institutions that become truly safe in the short and long run.

Eleven Steps to Promote Institutional Courage

Years ago, it was possible for the issues of sexual harassment and violence to slip out of the awareness of university presidents. Now, high-profile cases of sexual harassment and violence, and equally bad institutional responses, keep these issues on the minds of university leaders (Denny 2021; Salk 2023; Steinhauer 2014; Moody 2023). These cases continue to come to light because awareness is not sufficient to drive the action needed to make campuses safe. Leaders must be bold and brave enough to take specific actions that allow members of the university community to themselves take action to create a safe, equitable, respectful community together (Palumbo-Liu, n.d.; DePrince 2022).

Why do some institutions betray and further harm its members while others act in ways that benefit both those who have been harmed and the institution itself? How does that happen? How do leaders of institutions of higher education lead institutions toward action necessary for short- and long-term safety? And how do leaders institutionalize courage so that institutions are safer after a particular leader has left? Researching and educating others about the answers to these questions is the mission of the Center for Institutional Courage, which offers Eleven Steps to Promote Institutional Courage (Freyd 2018; 2022) that apply to any institution. Following this list, we describe actionable policies, practices, tools, and educational materials actions that institutional leaders can take to go beyond individual actions to institutionalize courage in universities. These steps are based on the basic, applied, and community-engaged scholarship that our institutions are known for. The eleven steps are:

1. Comply with civil rights laws and go beyond mere compliance; beware risk management
2. Educate the institutional community (especially leadership)
3. Add checks and balances to power structure and diffuse highly dependent relationships
4. Respond well to victim disclosures (and create a trauma-informed reporting policy)
5. Bear witness, be accountable, apologize
6. Cherish the whistle-blowers; cherish the truth-tellers
7. Conduct scientifically sound anonymous surveys

8. Regularly engage in self-study
9. Be transparent about data and policy
10. Use the organization to address the societal problem
11. Commit ongoing resources to 1–10

The Power of Cherishing Truth-tellers

In 1998, Brenda Tracy was raped by four men, including Oregon State University athletes. Tracy reported the assault to the police and provided evidence, and the men were charged, but with insufficient support to cope with the trauma, Tracy ultimately decided not to assist with the case, and the district attorney dropped the charges. Sixteen years later, Tracy called the university to find out what happened with her case. In response, Oregon State University investigated, quickly and thoroughly, and later hired Tracy to work on sexual assault prevention on campus. Tracy's story was shared powerfully in the *Oregonian* newspaper at the time (Canzano 2014). Having others hear and respond effectively was important and helped Tracy heal personally.

As important as it is to respond to individual survivors with compassion and tangible assistance, President Edward J. Ray took another action that helped cement institutional values of safety, equity, and respect. In an email on his office's letterhead, President Ed Ray wrote to the entire OSU community to say:

From the Office of the President, Edward J. Ray, Oregon State University

I am sure that many of you have read the article just published on OregonLive and being published in three segments this week in The Oregonian regarding the horrific assault suffered by Brenda Tracy in 1998 at the hands of several men. But also I learned the details regarding this assault on Friday. Apparently, statements were taken from Ms. Tracy and the suspects, two of whom were on the Oregon State University football team at the time.

We are told that law enforcement officials in 1998 were not able to bring criminal charges because Ms. Tracy did not wish to participate in a prosecution.

OSU cannot control the criminal justice system, but I have asked university staff to obtain the police reports for the case and to determine if there are any actions we can take now under OSU's code of student conduct. There may be no formal course of action available to us but we must try. While legal minds could no doubt explain how it makes sense to have a statute of limitations for sexual assault crimes, I find that appalling. Hopefully, justice delayed is not justice entirely denied in this case. We are currently trying to get the facts regarding OSU's handling of this matter in 1998, including what efforts were made then to reach out to Ms. Tracy to help her deal with the terrible physical and emotional harm she suffered. If a case of this nature was reported to the university today, OSU's Office of Equity and Inclusion would work to stop the sexual misconduct, assist the survivor and prevent a recurrence.

Ms. Tracy's journey has been simultaneously heart-breaking and inspiring because of her own capacity to reclaim her sense of self-worth and pursue her education so that she can help others through her work as a nurse.

There is no statute of limitations on compassion or basic human decency. I understand that Mike Riley, who was our football coach at the time, has offered to meet with Ms. Tracy and would like to have her speak with the football team if she wishes to do so. The immediate response from us to Ms. Tracy is to ask how we can help her address the effects of this violence. It is our hope that any role she is willing and interested in pursuing to help educate our community on the horrors of sexual assault by sharing her story could bring some healing.

This would be of great interest to us, but only if it is helpful to Ms. Tracy in continuing to deal with all that she has suffered.

We cannot undo this nightmare. I personally apologize to Ms. Tracy for any failure on our part in 1998 in not helping her through this terrible ordeal. This is a moment from which each of us can learn. But it is mostly a moment for us to help Ms. Tracy heal.

Edward J. Ray President

It was, to the best of our knowledge, the first time a university president has apologized to a survivor of sexual assault on behalf of the institution. The email went beyond mere compliance by calling for a moral response regardless of

problematic laws. Tracy went to work for OSU providing education across campus and at academic conferences (Becker-Blease and Tracy 2017).

Tracy's story is a powerful example of a growing body of evidence that survivors' well-being is determined not just by what happened but by what happened next. In fact, new research shows that among workers who experience sexual harassment, just over half reported institutional betrayal in response, and those responses were associated with decreased job satisfaction, decreased commitment to the organization, and worse physical health symptoms (Smidt et al. 2023). But it is possible to experience both institutional betrayal and institutional courage, or just betrayal, just courage, or neither. In this sample, just over three-quarters experienced institutional courage. Encouragingly, for those who had experienced sexual harassment and institutional betrayal, also experiencing institutional courage helped to moderate the adverse effects of institutional betrayal.

Positive effects accrue to both survivors and institutions when these stories are told. In a study of best practices in sharing clergy abuse survivors' stories, when participants read or listened to survivors telling their stories, participants reported that *more* connection to the institution increased church attendance, belief, or prayer practices, and less self-reported institutional betrayal. The author concludes, "The way forward might be to embrace difficult stories. One can imagine how survivors' stories when done well, with safety always in mind, could be integrated into the fabric of high school and university/college courses or teaching, university-wide" (McGlone, n.d., 28).

We need more leaders like President Tania Tetlow, president of Fordham University, which sponsored the multiyear effort to self-reflect on the causes and consequences of clergy sexual abuse that produced a report that included the study on the benefits of hearing survivors' stories. In it, Dr. Tetlow names the harm that denial does, on top of the harm of abuse, and she calls for change: "We have a deep-seated desire to reject unimaginable horror, especially when people we have once trusted are accused. But the result is the failure to protect our children. Now is not the time to turn away. . . . We have a moral obligation to pay attention" (Tetlow 2023). This kind of deep, ongoing self-reflection is another key to institutionalizing courage in higher education.

Necessary Checks and Balances

To encourage institutions to become safer, a balance of power is needed. Penn State football coach Jerry Sandusky's decades-long sexual abuse of children while affiliated with the football team was horrific. What came after was at least as bad. The institution further betrayed victims by not doing more to ensure that the institution could prevent, detect, and respond to child abuse. Alongside individual action or inaction, the institution was set up to be blind to this betrayal, allowing abuse to continue. Ed Ray, chair of the NCAA executive committee, made it clear the NCAA took quick action not against individuals, for which the individual culpability was still under investigation, but "with respect to a university that lacked institutional commitment to integrity and the other values of the NCAA" (Rittenberg 2012). He warned, "Every major college and university in Division I certainly, if not elsewhere, ought to do a gut check and ask: Do we have the balance right between the culture of athletics and the broader culture and values of our institution?" (Rittenberg 2012). By embedding this work within the compliance oversight role held by the NCAA, these actions put teeth to a necessary checks and balance system to hold institutions, not just individuals, accountable.

It seems hard to argue against institutional control to prevent child abuse. Yet NCAA President Mark Emmert and Executive Committee Chair Ed Ray were named in a lawsuit, denying the truth of the abuse that happened, attacking NCAA leaders personally, and arguing that the real victims were, in fact members of the Penn State community, as described in the local news:

> Hundreds of former Penn State football players are offering their support for a lawsuit targeting the NCAA, Mark Emmert and Ed Ray for handing down harsh and unfounded sanctions against Penn State following the Jerry Sandusky sex abuse scandal.
>
> To date, over 325 former players from over six decades have joined together to defend the history and future of the Penn State Football program. . . .
>
> "Joe Paterno and the entire Penn State football program have been used as scapegoats in this horrible tragedy," said Brian Masella. "When the NCAA neglected to conduct their own investigation, and used the flawed Freeh Report as the judge and jury, they further prevented an opportunity to get to the real truth, and in turn, punished a generation of Penn State players, students, and supporters who had nothing whatsoever to do with Jerry Sandusky." (P. Smith 2013)

Acting courageously is not without risk, and one risk is this specific type of attack. Research in Freyd's lab reveals a common pattern: Deny, Attack, Reverse Victim and Offender (DARVO) (J. J. Freyd 2023). Both high profile and everyday victims of sexual harassment and assault experience DARVO. The legitimate fear of this response deters victims' ability to report. Institutional leaders with power to withstand these attacks can and should watch out for DARVO, name it, and call it out when they see it. Doing so can partially neutralize its ability to silence current and future victims and embolden perpetrators to harm others (Harsey and Freyd 2020). When communications teams are aware of DARVO, they can craft messaging that limits the opportunity for DARVO, and respond effectively when it happens, a particularly powerful way to institutionalize courage and use the organization to stop the spread of misinformation and harm in the greater society.

When it becomes clear that institutions are vulnerable to those who would harm its members, it is necessary to commit the resources necessary to implement changes that strengthen its ability to prevent future abuse. One example is a dedicated staff member who develops policy and works with every unit on campus, from music lessons to athletic recruitment to summer camps, to ensure that children's interactions with the university are as safe as they can be. At Oregon State University, this role makes it much easier for the many people involved in outreach to youth to take evidence-based steps to keep children safe by providing consistent training and oversight across campus.

Scientifically Valid Climate Surveys to Drive Self-Reflection

Throughout the Covid-19 pandemic, universities' public health experts have been vital to informing university, state, and national leaders on prevention, testing, treatment, and outreach to vulnerable populations. Likewise, university leaders have readily available experts in survey research to inform responses to endemic sexual, gender-based, and interpersonal violence. Just as we depend on scientifically sound evidence regarding covid, universities depend on data on prevalence and incidence of violence and beliefs, behaviors, and perceptions of violence. By emphasizing how the values of "generating knowledge, cultivating learning among students, and using knowledge to improve student learning . . . align with the importance of climate surveys" (White House Task Force and to Protect Students from Sexual Assault 2014), university leaders increase the likelihood of generating meaningful and actionable data.

In 2014–2015, leading violence researchers and student affairs professionals convened as the Administrator Researcher Campus Climate Collaborative (ARC3) to create a free, scientifically valid survey in use across the US universities. Nearly a decade later, the survey, along with technical documents to aid the administration and interpretation of the results, remains a free resource to universities at https://campusclimate.gsu.edu/. One way university leaders can embed values of open, valid, community-engaged science is to leverage the existing intellectual capacity to conduct these surveys ("A Supergroup of Academics Is Trying to Stop People Who Profit from Campus Rape" 2015), and create policies to ensure transparent data dissemination.

Recently, a group of graduate students and recent graduates in fields including psychology, public health, computer science, and communication created a new way of co-researching sexual violence by collecting continuous data in a truly trauma-informed way that helps survivors heal and prevents future violence. Their project, called Map Your Voice, is found at https://www.mapyourvoice.org/. Universities are well-positioned to financially support these innovative efforts as the infrastructure and expertise are in place, the project provides data that creates safer communities and greater transparency that reduce costs in the long run, and it meets institutional goals by offering students opportunities to do experiential learning to solve real world problems and to recover from sexual trauma while they remain in school.

Academia's Unique Strengths to Guide Wise Decisions

Another inspiring model of institutional courageous practice in academia comes from the National Academies of Science, Engineering, and Medicine (NASEM) Action Collaborative on Preventing Sexual Harassment in Higher Education. That Action Collaborative convenes academic and research leaders to work together to "move beyond basic legal compliance to evidence-based policies and practices for addressing and preventing all forms of sexual harassment and promoting a campus climate of civility and respect" ("Action Collaborative on Preventing Sexual Harassment in Higher Education | National Academies" n.d.). It hosts a well-organized repository of brief reports on innovations by its members throughout higher education, and commissions papers and convenes meetings focused on actionable ideas and their effective implementation (Soicher and Becker-Blease 2020). The skillful coordination of stakeholders across and within institutions is a strong example of the kind of structures that university leaders could implement locally or regionally to sustain self-reflection with a focus on action embedded within academic culture.

Trauma-Informed Mandated Support Policies

Most institutions of higher education mandate that nearly all faculty and other employees must turn over information about students when they disclose sexual harassment and violence. But mandated reporting actually chills the reporting of the very information institutions seek. Trauma fundamentally involves a loss of control. When institutions take away agency, they replicate the same dynamics as abuse, which only further harms survivors and deters others from reporting.

One reason institutions balk at mandated support policies is concern about institutional risk, either due to a particular interpretation of law or concern about faculty responses to students. At the University of Oregon, law professors helped educate the rest of campus about the legality of these laws, and published a law review article for other institutions to follow (Weiner 2017). And, at UO, Freyd developed, tested, and disseminated training for faculty members on how to respond in a trauma-informed way (Foynes and Freyd 2011). Institutional leaders within higher education make better decisions about these complex issues when they leverage in-house expertise. Using that expertise further builds trust and stronger institutions.

There is another way to prevent sexual harassment and abuse, and return agency to survivors in ways that are healing: mandated support. With a mandated support policy, students—not the university—decide how their information is used. If the student wants to report, the person they tell is obligated to help them. If the student wants it kept private, the person they report to is obligated to keep it private with exceptions for imminent harm. These policies are trauma-informed because they return agency to someone who was harmed when their agency was taken away. When other truth-tellers learn that their information and wishes will be respected, these policies make it more likely that others will report.

Institutionalizing Courage

Doing the right thing is only one part of the challenge of university leadership. The hard part is embedding the structures, people, policies, and practices necessary to make it easier for members of the institution to act bravely and boldly. Most acts of sexual harassment and assault, and the responses people give and receive after, do not make the news. Students might tell a friend, ask a professor for an extension, or be noticed by a lab mate. In those moments, a safe institution is full of people who can and do step up.

Consider sanitation as an analogy. There was a time in history when people knew that they needed some way of managing waste, but did not yet understand how to keep people safe with basic sanitation. People did many things that were deadly for other people and themselves, like throwing garbage out the window and washing their clothes in dirty water. Over time, that changed because people were educated. People learned that sanitation would save their lives and other lives. People began to create physical environments that made it easier to behave in safer ways. Effective sanitation became habitual.

Today, with regard to institutional courage, we are in a stage akin to that pre-sanitation period. Our methods for keeping ourselves safe from sexual violence are not yet fully built on effective practices with structures in place that do not

rely on individuals to do the right thing. Good practices are not yet habitual, and common practices make it easy to not do the right thing.

Just as sanitation was developed, people can be educated about safe institutions and build the structures necessary for it to become habitual for people to do the right thing. Institutional leaders can not only model how to do the right thing, they can educate members on how to behave bravely and boldly, and create the structures necessary to make it easier to do so. Institutional leaders must do a gut check: Who educates leaders across campus about trauma, sexual violence, responding to disclosure, and effective institutional reporting? Who ensures that survivors receive truly confidential and trauma-informed support? Who audits institutional responses? And what is the reporting mechanism to ensure that the president and board of trustees are directly informed on not only legal concerns but also the mental health and other needs of survivors? At OSU, that takes state laws, institutional policies, confidential survivors' advocacy informed by survivors, auditing, clear reporting lines to the president and trustees, and an unwavering commitment to shared governance with students and faculty. May these examples inspire those seeking to institutionalize courage in their universities.

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III. Building Blocks and Positioning

Chapter 9. Fundraising from Soup to Nuts

Dr. Ed Ray

Chapter Overview

There are best and worst practices, dos and don'ts, for both public and private colleges and universities for success in fundraising. The purpose of fundraising is to bring resources to the institution. Those resources include the engagement, talent, and service of donors as well as their financial support. What are the characteristics of appropriate stewardship of current and potential donors? Donors increasingly want to designate the uses of their contributions. The art of the development effort is to match institutional needs and aspirations to donor investment passions, while achieving categorical and overall fundraising goals. Increasingly, public and private institutions are launching college or university-wide fundraising campaigns. Setting feasible overall and specific program goals, creating a development and leadership team to meet priority needs and exceeding publicly announced goals and monitoring campaign progress are essential. What are best practices for a fundraising campaign?

- Planning, implementing, and closing out a college/university fundraising campaign.

How does one develop a feasibility study for a fundraising campaign? How are program and institutional goals set? How does an institution create a compelling narrative to garner donor support? What happens when the campaign is over?

- Fundraising in support of strategic planning and institutional aspirations.

How aligned are fundraising and the strategic planning goals of the college/university? Strategic planning requires a long-term perspective. How does donor stewardship contribute to long-term fundraising success?

A New Academic Leader's Guide to Assessing Your Program's Readiness for Aggressive Fundraising Growth

Mr. J. Michael Goodwin

The precipitous decline in traditional revenue sources and rising pressure to moderate tuition growth have increased the need for fundraising on most campuses, public and private. In addition to its traditional role of providing support for students and faculty, philanthropy has become an increasingly important source of strategic investment in new initiatives and facilities. Boards tend to prioritize fundraising ability when selecting and evaluating presidents, yet many new presidents begin their tenure with minimal experience in this important work.

As a new president, where do you begin? How do you set the tone for truly aspirational fundraising as you lay the groundwork for a culture of philanthropy on your campus? How do you quickly get up to speed on the existing strategies, evaluate their effectiveness, and assess the potential for growth? What information do you need to make this assessment? How do you build institutional commitment? How can the time you spend with donors deepen your knowledge and help you become a better leader on campus? And how much of your busy schedule should you devote to these responsibilities? This chapter explores these and other questions.

Historic declines in traditional revenue sources and pressure to moderate tuition growth have heightened the need for fundraising on public and private campuses. Increasingly, institutions turn to private support to help underwrite strategic initiatives, new or improved facilities, and support for students and faculty. Universities often prioritize fundraising in selecting new presidents, deans, and other leaders. Yet many new leaders have had minimal exposure to the field. For example, a new president may have had experience raising money as a dean or provost, but for most, this will be the first time they have had responsibility for university-wide fundraising and alumni relations. Meanwhile, board members and others point to fundraising successes at comparable institutions and say, "Why not here?"

Where to begin? Achieving aspirational fundraising goals involves a lot of teamwork and many moving parts. How do you set the right tone and lay the groundwork for success? Who are your key partners? This chapter focuses on developing excellent development and alumni relations programs, but from the start you must keep in mind that success will also require best-practices work in areas like marketing, internal and external communications, and government relations. The president provides leadership and direction for all these programs and must ensure coordination among them.

Early on, the institution will look to you to build a culture of success, set and achieve aspirational goals for fundraising, and broaden engagement. Your team will need you to engage volunteers and get the message right. You need to quickly evaluate the effectiveness and potential of existing strategies and programs, being watchful for needed change. How much time should you devote to these responsibilities, and what's the best way to spend that time? This chapter explores these and other questions.

Do I Have the Right Culture to Grow Philanthropy?

Your most important question may be the one that asks whether you have the right culture to grow philanthropy. Success will be less a product of structure and reporting relationships, and more a result of effective communication, collaboration, and broad-based ownership of the program's objectives. Simply revamping the organizational chart might be tempting as a first, but it's usually better to leave the existing structure intact at first, concentrating instead on leading by example as you foster teamwork and lateral collaboration.

Various structures can work well if there is a university-wide commitment to the program and a culture of collaboration. In private universities, the advancement program will typically be a division of the institution, reporting to the president through a senior vice president. This person should become a valued member of your leadership team.

In public universities, the structures are often more complex, involving outsourcing, or partial outsourcing, to independent foundations with their own board. A few campuses have multiple foundations, and reporting relationships vary. Typically, foundation CEOs report to their board, but it's best practice to have the CEO also participate on the university leadership team. Also typically, the president serves on the foundation board, which will give you an avenue to communicate directly and confidentially with the board regarding the CEO's performance. Similarly, other academic leaders should have the ability to provide input regarding the performance of their development and alumni relations teams.

A strong, trust-based relationship between the president and her or his vice president or foundation CEO is a primary requirement for this culture of collaboration. You set the tone for the entire program, and the two of you must have each other's back, such as when the donor community expresses concern about a decision you've made. A president I worked with had to make a difficult decision about renaming a building because of issues in its namesake's past. He worked closely with the foundation's leadership to make sure the voices of donors to that part of the university were heard. The foundation also played a key role in helping donors understand and appreciate the campus perspective. Take the time to develop your relationship with your chief development officer, and there will be many dividends.

Fundamental concepts are the same for those who lead a development program within an institution. Don't squander your time trying to change the structure. Focus instead on fostering transparency, communication, collegiality, and teamwork.

Once you've familiarized yourself with the structure and with how well communication flows within the organization, learn how the institution manages relationships with its very best donors. How are decisions made about when and how to approach these donors, especially those with multiple interests? Ideally, you will soon develop your

own strong relationships with these key friends of the university, and decisions about the relationships and potential requests for support will flow through you.

You also must learn how the institution (or your unit) establishes fundraising priorities. Is it a collaborative effort between the university and the foundation? What role does the provost play? How are deans involved? You want enthusiastic buy-in across the university. The fundraising program should never set priorities, but it should participate in the process and test the market appeal of major initiatives. As you evaluate these processes, it's important to appreciate that development revenues are a source of strategic investment and that, as one president put it, they are "not an unlimited resource." Do your development objectives reflect this thinking?

Once priorities are established, how well does the development team work to match strategic priorities with donor interests? And how agile is the institution when responding to major funding opportunities that may not be included in the strategic plan, which is often the case with many of the biggest potential gifts. Having productive conversations about whether you can align your objectives with the vision of a potential megadonor can be historically important to your institution.

Finally, if your structure includes a foundation, is there an MOU that defines the relationship between the university and the foundation? The MOU is typically a legal document prepared by counsel and reviewed by the university and foundation boards. What are the principal elements of that agreement? When was it last updated? Does the MOU afford you the ability to help select and evaluate the performance of the foundation CEO? Are academic leaders able to provide input on the development goals and on the performance of their development and alumni relations team? Do these conversations occur regularly? Does the foundation's overall behavior reinforce the culture of communication and collaboration, and build broad-based ownership? Asking these questions will establish you as the leader of the program and will send the campus a message about the type of program you want to build.

How Do I Encourage Aspirational Goals for Fundraising?

One of the most important roles a new leader can play is to raise the bar for university aspirations and for the fundraising to help meet them. In proposing new levels of achievement, it's important to be aggressive and realistic at the same time. Process is important. Hope may not be a strategy, but an aggressive goal, based on professional analytics and coupled with compelling objectives, will inspire your constituency. However, unrealistic, shoot-from-the-hip expectations undermine your credibility with staff and volunteers. Your own enthusiasm and personal commitment of time and effort to active participation in the fundraising process is critical.

One new leader took the reins at a research university that had never launched a comprehensive campaign and had been bogged down in strategic planning. Knowing that he needed to convince the campus that a comprehensive campaign was really going to happen, he set a deadline for completing the strategic plan and hired new, experienced leadership for the development program. Working with the provost, he established development expectations for deans. He set a compelling example by tirelessly meeting with prospective donors and asking for gifts when appropriate. A few large early gifts got attention on campus. Within a few years the university community began to believe donors would make significant investments across the campus. Development activity accelerated and in five years, the uni-

versity more than doubled its yearly fundraising. This included gifts that would help dot the campus skyline with construction cranes on a campus that hadn't had a new building in twenty years.

In another situation, a new president at a smaller land-grant institution raised expectations by challenging the foundation board and development team to double the fundraising goal for a much-needed athletic project that had been dragging. A few key donors stepped up and pushed the effort past its goal. The institution built on this success to develop a campus-wide major gift program, and today, several years on, that foundation has increased its productivity significantly, and the president is regularly collaborating with the foundation to bring in eight-figure gifts.

The new leaders in these examples understood how to set ambitious goals and discern donors' motivations. They fostered a contagious confidence that more diligent attention to fundraising would produce better results.

All of this depends on setting goals that are both aspirational and achievable. The key to that is in your data. In establishing a long-range goal for your fundraising effort, look at what the program has done over the last five to ten years. Can you lift this trajectory? What evidence supports this? Are the potential donors there? What investments in the program will have the best ROI? How can you fund those investments?

As you review the fundraising totals, there will likely be "spike" years, but look for the trend line. In a healthy program, it will move steadily upward and will typically increase more dramatically during university-wide campaigns. Proprietary research by a national consulting firm discovered that growth rates in campaigns at one group of research universities they work with averaged 9 percent, compared to 4 percent at institutions that were not in campaigns. Over the course of a ten-year campaign, this five percent margin represents a very significant difference. Once you understand your trajectory, your goal will be to bend that trend line upward. This is not a simple task and requires analytics, strategy, and, in most cases, investment. Launching a comprehensive university-wide campaign that has the support of your entire community is one of the best ways to do that. (See Kevin Heaney's chapter for more information on campaigns.)

The right target growth rate for your program depends on various factors, including institutional leadership, campus engagement, investment in the program, and the availability of large gifts. Compare yourself to peer institutions. Are your results comparable to those of leaders in your peer group over a statistically significant time? If you're lagging, why? Peer comparison data is available through the Council for Advancement and Support of Education (CASE), located in Washington, DC. In addition, many consulting firms will prepare a customized report for your organization.

It's also valuable to pay for an external assessment of the fundraising potential of your alumni/donor database to determine whether you have the potential to achieve what you have in mind. In other words, can you identify a sufficient number of people with the financial capacity to make a significant gift. You have probably heard of the 80-20 rule, which today is more like the 90-10 rule. Simply put, this principle holds that 90 percent of your fundraising capability will come from 10 percent of the donors. This formula has been validated in many fundraising campaigns. Many institutions will engage an external consultant to help evaluate the financial potential and interest level of the donors who will be asked to give 90 percent. In addition, the study will tell you whether your development officers and academic leaders are spending time with those top prospects. The external review should identify new prospects. Does the development program have a strategy to reach out to newly identified people with significant potential?

Other questions to consider: Are your academic leaders prepared to make a major ask? Are you helping them develop their capabilities? Is additional investment in the major gift program warranted to meet the goal of building relationships with those who will provide most of the giving? Again, while all these questions can be addressed internally, I'd recommend seeking the perspective of an independent consulting firm. CASE can provide information on firms that do this work.

Once you have a sense of the program's trajectory and the potential of the donor pool, it's time to talk about realizing that potential. One school of thought holds that the best way to incentivize outstanding results is to call for "Big Hairy Audacious Goals" (BHAGS). Be careful with this. One president was encouraged by the board to set a ten-figure goal for a campaign, even though a feasibility study done by a very good consulting firm recommended an ambitious but more modest objective. For twelve to eighteen months, the big number seemed to get the attention of the deans and development officers, but when the leadership gifts failed to materialize, faculty became disenchanted, development officers took new jobs, and the president eventually moved on. The next president had to unwind the campaign and rebuild the development program.

Fundraising is a discipline that rewards hope and ambition if those are accompanied by rigorous attention to detail and process, and if the goals are based on reality. Jim Collins describes this as the Stockdale Paradox in *Good to Great.* "Retain faith that you will prevail in the end, regardless of the difficulties, and at the same time confront the most brutal facts of your current reality, whatever they might be" (Collins 2001, 86). And of course, as president (or as leader of an academic unit), you need to be disciplined too. Changing priorities unpredictably will undermine the efforts of everyone around you.

To summarize, your institution's fundraising trajectory over the next decade will depend on five things:

1. compelling funding priorities based on the strategic plan,
2. your current trajectory,
3. the potential of the donor pool,
4. campus-wide engagement, and
5. investment in the program.

Set your expectations for success based on a professional evaluation of these factors and you will likely succeed beyond your expectations.

How Do I Build Institutional Commitment and Support for a More Ambitious Fundraising Effort?

Achieving aspirational fundraising goals requires a three-way partnership involving academic leadership, the development and alumni relations staff, and volunteer leaders, such as members of your governing and foundation boards, alumni association, and constituent advisory boards in the colleges and athletics. The Association of Governing Boards in Washington, DC (AGB), is an excellent source for guidance on building strong boards and committees in higher education.

Generating enthusiasm and aligning these groups with the goal is essential. It takes a combination of vision and process. A shared vision helps everyone see the potential benefit to the institution and the people it serves. Process creates the daily discipline of making it happen. In both areas, you must set the tone. In this spirit, one successful president has adopted Collins's mantra of "disciplined people, disciplined thought, disciplined action" (Collins 2001, 121). Her university has achieved remarkable success in its development program during her decade-plus tenure. Another president, also a Collins fan, told his development team to look at the campaign priorities as a "to do" list, not a wish list. This disciplined approach helped his team have great success guiding donors with institutional priorities that were clear, strategic, and consistent.

To achieve buy-in to a shared, compelling vision, ask yourself: How recently have your institution's vision statement and strategic plan been updated? Does the institution use the plan? Does the provost hold deans accountable to the plan at budget time and during annual reviews? Do key audiences on and off campus understand the plan? Is the plan aspirational enough to motivate increases in philanthropy? It might be important to start a new visioning and planning process as a prelude to an enhanced fundraising effort, but maybe all that's needed is an update of the plan to make sure it reflects your priorities.

Be sure to work with your provost to share iterations of the plan with faculty groups, the foundation staff and volunteer leaders, inviting feedback. Yes, the fundraisers' job is not to tell the university what to do, but they can provide valuable feedback on whether the ideas in the plan will make sense and resonate with donors.

It's also important to make fundraising effort a priority in the performance evaluations of academic leaders who are responsible for development work. Does the provost evaluate deans for their performance in advancement? As a dean, what are your expectations for your department chairs? Similarly, how is development officer performance measured? What metrics are used to manage and evaluate their performance? How are performance management issues addressed?

But successful development work is not just about metrics. It's about relationships. Donors absolutely hate having to "break in" a new development or alumni relations officer every year or two. What's your turnover rate in advancement, and how does it compare to industry standards? This information is also available through CASE. Ideally, your rate will be close to the norms. High turnover can suggest an unstable organization, but very low turnover rates may suggest people are too comfortable in their positions. If either rate seems off, ask why and seek mitigation. A strong process for evaluating performance and careful monitoring of staff attrition are essential elements of a strong development and alumni relations program.

How Do Volunteers Add Value to the Development and Alumni Relations Program?

Volunteers play many valuable fiduciary and strategic roles. Their active engagement and personal generosity set a tone for the entire community. Healthy advancement programs effectively engage volunteers in a wide array of roles and source these volunteers from many areas, including alumni as well as the business and professional communities. Many institutions also build ties with underrepresented communities to increase their volunteer participation. This

type of engagement serves to deepen commitment to the institution, often leading to an increase in personal philanthropy. Roles can be as diverse as working as a docent in your museum to serving as a member of the campaign steering committee. What role do volunteer leaders play in your advancement program. How does the institution orient them? Do you seek their feedback? What's their level of satisfaction, and their giving rate?

This business of engaging volunteers and encouraging them to be ever more active in their support of the university is crucial. It's a truism that volunteers desire meaningful engagement, but are they getting it? Are volunteer leadership meetings a series of PowerPoint presentations followed by cocktails and dinner? Or do the meetings encourage meaningful dialogue between the volunteers and university leaders?

Look into the role of the alumni association. These organizations play a pivotal role in maintaining relationships with graduates and others. Today, associations work hand in hand with their development partners and often lay the groundwork for relationships that will result in generous gifts in the future. One donor I worked with shared how his experience with his alumni association started a process that led many years later to a transformational gift to name his college of business. "They kept sending me these requests for help," he told a student audience on the day his gift was recognized. "We could hardly pay the bills, but I couldn't throw that envelope away. One day I decided to send them $5.00. We've given every year since then, more generously as we were able. The relationship grew and here we are today. I'm not sure it would have happened if we hadn't started the habit of giving back long ago. I encourage you to do the same."

Although this relationship between friend-building and fundraising has always existed, many alumni associations in recent years have taken steps to spell out the role they will play in building relationships and have established metrics to measure their results. Some universities have launched "fundraising and engagement campaigns" to elevate giving and participation. The association owns and monitors metrics for engagement goals, such as in this example from a current university-wide campaign. The alumni association has set these goals:

1. Enhance student and educational success, through a wide array of support programs offered through the association.
2. Support advocacy and government relations efforts.
3. Contribute to diversity, equity and inclusion goals by building programs and events that are welcoming and accessible to all.
4. Increase giving and revenue, including activities to maximize the pipeline of donors.

From a development perspective, the most meaningful form of engagement is on the mission side, where volunteers can mentor a student, engage with a professor, or perhaps even lecture in a class. These experiences can change lives and deepen participants' commitment to your institution. More information on alumni goals in a campaign is available through CASE.

As president (or academic leader), you have a unique ability to acknowledge your volunteers and note the incredible resource their service represents. Your presence at their meetings and activities, even for a few moments, conveys the institution's belief in the value of their work. Many presidents make a point of spending serious time with volunteers

across the university community, often building trusting relationships. As Ed Ray observed: "This is a group of smart, dedicated, and experienced people. Why wouldn't I want to elicit their advice?"

How Much of My Time Should I Devote to Advancement Work? And How Should I Spend That Time?

Prioritizing this work in your own schedule is the clearest way to set an example for other campus leaders. Best practice suggests allocating about 20 percent of your time for this activity, and more is better if you can manage it. This often requires diligent attention to your calendar. Before you even arrive on campus for your first day, people will be busy deciding how to use your time during those first months on campus. While their input is valuable, it is important to recognize that it will reflect their priorities and not necessarily yours. Make sure to block time for development visits and meetings and strategize with the development team about how to best use that time.

During your "rollout" to your new university's community, you'll be asked to make remarks on a regular basis, ranging from casual to formal. Staff will likely provide talking points for these engagements, but they'll need your guidance if you want the words to reflect your message. Spend some time before you arrive thinking about your own priorities and the messages you want to present early on, building on what you shared during the interview process. Don't miss this early opportunity to openly support enhanced fundraising. Presidents are often asked to make a formal address to a faculty gathering at the start of the academic year. Often a president will labor over this speech, knowing that he will be able to use the key messages repeatedly over the course of the year.

While it's often necessary to devote time to board meetings and receptions, make time to meet one-on-one with the institution's top donors. For example, a good travel day might include three or four visits with individuals, followed by a reception with a larger group during the evening, and perhaps a small dinner afterwards.

Ideally, you will be able to schedule a meeting with each of your institution's top fifty donors in your first six months, in addition to spending time with leaders like the chairs of the alumni association and the foundation. The development staff should brief you for these meetings, including a short bio of the person you will be visiting, a summary of their relationship with the university, and a suggested outline for the conversation.

Much of this development activity can be scheduled in a disciplined and well-structured way, but occasionally you'll need to be flexible and opportunistic. I was in Texas with our president once. The donor we were visiting suggested we change our plans for returning home and make a stop in Colorado. It turns out he'd spoken to a fellow graduate and had arranged for us to visit with him about a seven-figure gift. The president rearranged his schedule, completed a successful ask, and initiated an impactful long-term relationship for the university. If we had worked through the normal scheduling process, it may have taken weeks to get that appointment, and the donor's inclination to generosity may have receded.

Another issue to consider ahead of time is whether you will want to be staffed for your development meetings. The staff you inherit will have expectations about how this should work. It's a good idea to find out what their expectations are. If yours are different, explain how you would like to work, and why. I strongly recommend including a senior development officer for most donor meetings, typically your vice president for advancement/foundation CEO

or another senior colleague. These senior staff members will likely already have a relationship with these donors, and can help organize the agenda, submit a contact report and initiate follow-up as needed after the meetings. In addition, the travel time between meetings will afford you the opportunity to develop a collegial relationship with your senior development officers, and for you to learn more about the program.

Another issue to consider is whether to include your spouse/significant other in social occasions with donors if he or she is inclined to participate. These lunches and dinners can be very effective in building relationships. In these social situations, I would typically not include development staff, although there may be situations where it is a good idea based on the agenda or the development officer's relationship with the donors.

What Is Your Message?

Hone your message during your first few months on campus. Keeping in mind that you've been asked to make increasing philanthropy a top priority, how can you raise sights both internally and within the donor community? Both audiences will relate to your vision and passion for the mission of the university. They will wonder why you wanted to become a part of this community. What attracted you, and how does it tie to your personal story? For example, one president of a land-grant institution connected his experience of becoming the first person in his family to get a college degree to his passion for the land-grant mission of broadening access. He overcame great odds to get a degree and eventually a PhD. His short but compelling story resonated with the institution's alumni, many of whom had similar backgrounds. Stories about personal connection to the mission will resonate more than talking about institutional achievements. "Pride points" are important, but generating an emotional connection with donors helps them relate to your vision.

In Conclusion

While fundraising can seem to be a distraction from your other obligations, it can also provide an avenue for gaining perspective and great understanding of the institution's work and impact. One president, reflecting on his initial exposure to development as dean of a major college of arts and sciences, shared that he was anxious about doing development work when he first stepped into the job. But as he met with many donors over the years, he gained perspective on the work of his college that far surpassed what he may have gained by spending all his time on campus. In addition, he built lifelong relationships for the college and raised a great deal of money.

At its best your work in advancement will be fully integrated with your work on campus. Raising an institution's fundraising productivity to a new level is an immense challenge but also very rewarding. It all comes back to having the right culture, setting the vision, and meticulously following the process.

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Seven Habits of Highly Effective Fundraising Campaigns

Mr. Kevin J. Heaney

The hallmark of many presidential tenures is the launch and completion of a successful fundraising campaign. Long ensconced in the set of expectations of presidents of many private institutions, today most leaders of public institutions are also being called upon to lead large, complex fundraising campaigns. Whether the institution is private or public, fundraising campaigns aim to ensure the well-being of their institutions, to launch strategic initiatives and build new facilities, and to advance institutional goals, aspirations, and values. The president plays a pivotal role in a campaign, from setting the overarching tone and establishing an institutional vision and priorities to cultivating and soliciting lead donors for philanthropic gifts to advance those priorities. Increasingly, many institutions are melding their separate and distinct offices of Development and Alumni Affairs into offices of "Advancement," to better serve their goals of engaging alumni, parents, and friends and inspiring them to serve as volunteers, to make philanthropic contributions toward institutional priorities, and to serve as ambassadors for the institution. Good campaigns can effectively accomplish all three of these interrelated objectives. In short, good campaigns are about more than simply raising money; good campaigns can position a president and his or her administration to achieve multiple goals for the institution. As such, this essay will focus on: 1) the case for having a campaign; 2) the role of the president in a fundraising initiative and/or comprehensive campaign; 3) the importance of a strategic plan or institutional vision to guide the campaign and its goals and planning; 4) the important partnership between the president and the chief advancement officer; 5) the components and stages of a successful campaign, and what should be accomplished in each of those phases; and 6) current trends in fundraising campaigns.

The hallmark of many presidential tenures is the launch and completion of a successful fundraising campaign. Historically, fundraising has been entrenched in the set of expectations for presidents of many private colleges and universities. Today, however, as state and federal funding for higher education dwindles, leaders of public institutions—from community colleges to complex research universities—are also being called upon to lead ambitious fundraising campaigns. Most fundraising campaigns share the same goals: to secure an institution's long-term financial stability; to launch strategic initiatives and build new facilities; and to realize goals and aspirations that advance the institution's mission.

Throughout the entire process of planning and implementing a campaign, the president plays a critical role in ensuring the campaign's ultimate success. The president provides the overarching vision for the campaign and identifies its key objectives. The president sets expectations for achievement and ensures that key institutional leaders and administrators are appropriately involved. Finally, the president develops strong relationships with many—if not most—of the institution's most capable potential donors and plays an important role in cultivating, soliciting, and stewarding those donors whose participation in the campaign at the highest levels is critical to its success.

So, what is a campaign? Traditionally, a campaign is an "intensive fundraising effort designed to raise a *specific amount of money* for an institution's *strategic priorities* within a *defined time period"* [Emphasis mine.] (Reiser 2021). Campaigns come in all shapes and sizes, and range from single-focus initiatives to comprehensive efforts to secure philanthropic support for a wide array of priorities across multiple schools and constituencies within an institution. Traditional fundraising campaigns typically include a two- to three-year "quiet phase," in which a college or university seeks to raise at least half of its dollar goal from its most engaged and generous alumni and stakeholders. A campaign then moves into a "public phase," traditionally marked by a public announcement of a time-bound dollar goal and a curated set of fundraising priorities. At this point, institutions seek philanthropic support from a broader swath of their alumni and stakeholder community. The public phase often lasts five years, although campaigns have been trending longer in recent years, especially if the campaign's momentum remains strong (Gower 2018).

Why embark on a campaign? There are generally three reasons. The most obvious reason is to raise money, and a campaign provides valuable fundraising discipline in terms of planning, establishing goals, and allowing institutional leadership to manage by focusing on objectives. A campaign also provides a timeline for fundraising, which can increase momentum with potential donors. The sense of urgency that is created during a campaign often inspires donors to consider "stretch gifts," making larger commitments during the campaign time frame than they might otherwise have made. In addition, a campaign can often produce long-term benefits beyond the campaign period. Because greater-than-usual numbers of potential donors are typically identified and engaged during the concentrated campaign period, there is increased potential to maintain these higher levels of support after the campaign closes. In short, an effective campaign elevates an institution's overall "culture of philanthropy" and enhances its ability to raise philanthropic support in both the near and long-term.

The second reason to embark on a campaign is that it provides an effective platform to meaningfully engage your alumni and stakeholders in the life of the institution, and build a shared sense of purpose. Campaign successes foster pride and strengthen affiliation among alumni and other stakeholders leading to enhanced alumni volunteer support and creating a larger cohort of institutional ambassadors. Effective campaigns galvanize stakeholders—including alumni, parents, friends of the institution, students and potential students, community and civic leaders, industry leaders, private grant-making agencies, and corporations—and help build a greater sense of community among members of these groups and with the institution.

The third reason to have a campaign is that an effective campaign can help define and position your institutional "brand" for a broader audience. In many ways, campaigns are large-scale marketing strategies that provide a platform to reaffirm your institution's mission and share your aspirations for its future. For example, at my current institution, we are using our current campaign to tell the full story of Princeton today by reinforcing the university's leadership in areas like college access and affordability, environmental science, and data science, among other areas.

A well-managed campaign can position the president to achieve multiple goals for the institution, with both short- and long-term benefits. It can advance institutional priorities and enhance an institution's ability to fulfill its mission. It can help advance the institution's communications and positioning strategies.

It is worth noting that every campaign is different—even campaigns for the same institution—and the set of circumstances surrounding each campaign is unique. In other words, campaigns are heavily influenced by the specific individuals in institutional and volunteer leadership roles, changing fundraising priorities, institutional culture and location, and the frequency of campaigns within the institution's history. Campaigns are also influenced by economic, political, and social issues, as well as unforeseen circumstances like the COVID-19 pandemic. Of the five university campaigns in which I have been involved, each has been distinct, reflecting the unique character and culture of a particular institution at a particular point in its history. But it is also true that these campaigns have all shared certain characteristics and strategies that led to their respective successes. In this essay, I share some of the insights I have gleaned from my experiences at Princeton University, and prior to that at Oregon State University, that led to successful outcomes.

Understand Your Institution's Readiness for a Campaign

Any president who is asked to spearhead a significant fundraising effort should request a thorough assessment of the institution's capacity to secure the funds required to achieve its goals. It is important to understand the current state of fundraising at your institution by asking some essential questions. How much does your institution currently raise each year? Do you have an identified potential donor base, and if so, what is its anticipated giving capacity? How many campaigns, if any, has your institution previously conducted, and how much was raised and for what purposes? What is your institution's relationship with its alumni and stakeholders, and does it include a strong "culture of philanthropy," or is this something that will need to be developed? How engaged are alumni volunteers in fundraising activities? Is your board of trustees committed to fundraising, and how is that commitment reflected in their own giving and volunteer activity? What are the current strengths and weaknesses of your advancement enterprise, and is it staffed and resourced appropriately? How important is fundraising to achieving your institution's aspirations? What other sources of support are available to underwrite institutional priorities?

Campaign readiness is often assessed by an outside consulting firm, and includes benchmarking your institution's fundraising history against peer institutions, as well as identifying the strengths and weaknesses of your advancement team and its size and structure. The process will help identify strategic investments needed to build or reinforce infrastructure for the campaign, including staffing, technology, identification and cultivation of a pool of potential donors, and review of institutional gift acceptance policies. Prior to publicly launching Princeton's most recent campaign in the fall of 2021, we conducted a thorough assessment of our fundraising enterprise. While the university had previously completed three successful capital campaigns in the past, we concluded that we would need to make more significant investments in terms of staffing and other resources in our major giving program—especially effort geared toward our top tier donors, often referred to in fundraising circles as "principal gift" donors—to achieve the aspirational goals we envisioned for the next campaign.

Princeton has long been a leader among universities when it comes to alumni participation in its annual giving program. Historically, the university has been able to count on at least 50 percent of its undergraduate alumni to make a gift annually. The opportunity identified for Princeton in our campaign readiness study, however, was to inspire a subset of those donors to make larger, more transformative gifts during the upcoming campaign. Therefore, we determined early on that if the university was to achieve its aspirations and ambitious goals in the upcoming campaign, we would need to grow and expand our principal gift efforts.

Be "All In"

As president, it is essential that you be fully engaged in the advancement work of your institution and that you prioritize this aspect of your role. The success of any fundraising initiative will depend on your being present and visible throughout the campaign. As president, you are the public "face" of your institution as well as of the campaign. Major donors will often expect to have access to you and to feel like part of your inner circle. They will look to you to share a vision for the future of the institution and to engage them personally around institutional priorities.

As president, you are also the principal spokesperson for the institution, and you play a key role in communicating your college or university's culture and values. You are uniquely situated to connect with alumni, donors, and potential donors, who want to know and invest in a specific leader and that leader's vision, and not just in an institution. They want to trust you and be assured that you will be a good steward of their philanthropy and that it will have meaning and impact. Ultimately, one of the most important factors in a donor's decision to make a gift to your institution's campaign will be the strength of *your* relationship with that donor.

It is, therefore, essential that you commit the time required to engage meaningfully with alumni and other stakeholders. You should also hold your advancement staff accountable for using your time wisely. I have had the good fortune to have worked with several presidents who have devoted as many as sixty full days a year or more to advancement-related activities. This time is spent meeting with individual donors both on campus and throughout the world, hosting large-scale all-alumni gatherings in strategic regions of the country and abroad, and participating in donor stewardship activities. This level of presidential commitment has directly contributed to fundraising success everywhere that I have worked, and there really is not an effective substitute.

Finally, it is important that you work closely with your advancement staff to determine where you will have the greatest impact during the campaign. Is the best use of your time speaking before a large assembly of alumni in a particular region? Is it cultivating relationships with individual donors? Is it soliciting the gift yourself, or being brought in to close the gift after the solicitation has been made? Or is it most important for you to steward the gifts and ensure the donors of the impact of their philanthropy afterwards? Each situation will be different. Your schedule as a president is extraordinarily demanding, but it is important that you build in flexibility to meet with potential donors on their terms and in their time frame.

Link the Campaign to Your Strategic Plan

All good campaigns are informed by a robust institutional strategic planning process. At Princeton, for example, a carefully structured, eighteen-month strategic planning process resulted in a strategic planning framework for the university's future (Princeton University, n.d.). This framework identified key priorities and areas of growth and expansion, as well as new areas of inquiry and initiatives that the university sought to achieve. That planning process, with the resulting strategic framework, has served as the basis for our current campaign.

I also believe that the best campaigns are "mission-driven" and tied to your institution's values. In the case of the current campaign at Princeton, many of the university's strategic priorities became our campaign initiatives. We knew that it would be essential for us to frame our campaign as not *for* Princeton, as had been done in the past, but rather about what Princeton could do *for the world* (Christopher L.Eisgruber, pers. comm., September 17, 2020). This allowed us to position the university's strategic priorities, such as access and affordability, environmental science, and bioengineering, as campaign initiatives in areas where Princeton was uniquely situated to make a difference beyond the university.

As president, you must articulate a vision and make the case for philanthropic support for your institution. It is key that you articulate a vision and identify fundraising priorities—based on your strategic planning—that both advance that vision and resonate with donors. Ask key questions in developing this vision and identifying the fundraising initiatives to support it: Where are we going as an institution? What programs do we want to grow? Create? What faculty, facilities, and/or other resources do we need to achieve these aspirations? Ultimately, your campaign's success will depend on your ability as president to explain why your institution needs additional resources to grow or launch new initiatives, and why supporting your institution is an effective way to invest in the region's, or perhaps the world's, future.

You also will need to prepare your institution and its internal constituencies for a campaign. It is critical to garner the support of the board and key institutional leadership and to set expectations for them and for your senior staff. Decide whether deans and other senior staff will have specific fundraising responsibilities and expectations, which could include identifying fundraising priorities (tied to the strategic plan), developing compelling donor proposals, and engaging, soliciting, and stewarding donors. This was a key shift during my time at Oregon State University when the university made a key decision to assign the deans of each college the new responsibility of leading campaigns within their respective schools and colleges as part of the university's broader campaign structure.

Insist on Focus and Strategic Discipline

One of the greatest contributions you, as president, can make to the management of a campaign is insisting on focused priorities and strategic discipline throughout the campaign period. This approach certainly can be difficult when deans and other institutional leaders are advocating for an assortment of fundraising priorities. But campaigns require that leadership makes tough choices; they cannot be all things to all people at your institution. Campaigns are one way of advancing institutional priorities, but they are not the only way. You and your campaign leadership team must determine which institutional priorities can best be achieved through philanthropy (i.e., which priorities

will resonate most with potential donors), and then focus your efforts there. Effective campaigns do not result from throwing every gift opportunity up against the wall and seeing what sticks with donors. It is about choosing which specific areas of institutional investment—and co-investment with donors—will best advance your strategic vision for your institution.

It is critical that each significant campaign gift you seek and accept serves strategic priorities. If an institution accepts a gift on a purely opportunistic basis—especially if it is not well-aligned with strategic priorities—or if the institution accepts a gift simply to boost its fundraising totals, it can have a detrimental impact on the institution (Christopher L.Eisgruber, pers. comm., September 17, 2020). Relatively few restricted gifts pay the full cost of an added faculty position, program, or facility. These gifts almost always require some institutional co-investment to realize their benefit. Consider, for example, if the giving level to endow a professorship at your institution is $5 million. While this would be a substantial gift at most institutions, such an endowment would not cover all the costs associated with supporting a senior professor, which would likely require an endowment of $8 to $10 million or more, depending on the field. By accepting an endowed professorship in a field that is not a strategic priority—especially if it is an incremental position—you may find your institution needing to allocate institutional funds to a non-strategic area (Christopher L.Eisgruber, pers. comm., September 17, 2020). Such gifts may limit your ability to invest institutional resources in areas that *are* strategic priorities.

New initiatives are essential to sustaining excellence and enhancing your institution's impact; many depend on substantial new investment from both donors and the institution. To ensure that a campaign serves strategic goals, you will need to balance multiple considerations. Working with your advancement staff, you will need to set an achievable dollar target that will raise aspirations of donors without tempting the institution to pursue or accept gifts it should not take (Christopher L.Eisgruber, pers. comm., September 17, 2020). You should strive to find ways to recognize, accommodate, and engage the interests of donors without allowing their particular interests to divert you from strategic objectives. Also, it is critical to understand the magnitude of institutional cost-shares, which should differ depending on whether, and to what extent, the gift advances a strategic priority. Endowed funds are established in perpetuity, so it is important to accept endowed funds that can be used not only for current needs and aspirations, but that also will continue to benefit the institution down the road. It is a best practice to avoid narrowly defined terms and conditions for endowed gifts whenever possible, sometimes incorporating in the gift terms alternative uses acceptable to the donor, as it is often difficult and costly to amend gift restrictions once they have been established (Christopher L.Eisgruber, pers. comm., September 17, 2020).

In an effort to secure a gift, you may find yourself willing to consider conditions or terms that may not be in the institution's long-term best interest. (For example, accepting a narrowly defined professorship that may be difficult to fill or whose field may not be relevant a few decades from now.) Inevitably, during the course of a campaign, you will be approached by well-meaning donors who have goals for their philanthropic support that might not advance your institutional priorities (Christopher L.Eisgruber, pers. comm., September 17, 2020). It is essential that you get comfortable saying "no"—or, more appropriately, "No, thank you"—to donors whose interests are not aligned with your institutional priorities, perhaps helping to steer their philanthropy to other, better aligned purposes.

Focus Your Energy on the Top of the Gift Pyramid

For decades, campaign planners have relied on the "Pareto Principle" from economics, which essentially advises that roughly 80 percent of the dollars you will raise in a campaign will likely come from about 20 percent of your donors. This is more commonly referred to as the "80-20 Rule" in fundraising circles. With the increasing concentration of wealth in the United States, however, we can no longer rely on this principle for campaign planning going forward. Today, you will more likely receive 90 percent of your goal from approximately 10 percent of your donors. In certain institutions with fewer donors making substantially larger contributions, you may even see something closer to a "95-5 Rule." This was certainly the case in Princeton's last campaign, completed in 2014, in which 65 donors out of a total of 79,000 total donors to the campaign provided *half* of the dollars raised. In fact, one-fifth of the campaign total came from just eight donors. Oregon State University's last campaign (ending in 2015) had a similar result, in which $1.14 billion was secured from 106,000 donors. [1] Thirty-five percent of that total came from just twenty donors. These examples from successful campaigns underscore the importance of developing lasting relationships with high-level donors in order to secure transformational levels of support.

It is vital, then, to prioritize your time and energy on transformational gifts from your institution's most capable potential donors (often referred to as "principal gifts," distinguishing them from annual or major gifts). Engagement of principal gift–level donors requires extraordinary, dedicated resources and a sustained effort from your principal gift fundraisers and stewardship staff. Increasing numbers of institutions are raising more money because they are laser-focused on moving donors with great capacity toward progressively larger gifts.

To expand upon the 90-10 rule, it is also long-standing and common practice to think about campaigns in terms of a pyramid, with fewer, but *larger* gifts at the top and significantly more, but *smaller* gifts at the base. Thus, the more gifts you secure at the top of the pyramid, the less you need to rely on the more numerous smaller gifts at the base. While all levels of giving are important, your campaign's success and impact will depend on your ability to inspire a relatively small number of donors to give at transformational levels.

It is critical for you and your advancement team to identify those potential donors that you can realistically cultivate for transformational gifts within the campaign period. Starting in the quiet phase, cultivate relationships with previous donors and those individuals who are currently engaged in meaningful ways. The president plays a key role in inspiring donor confidence and creates the climate in which fundraising takes place, representing the institution and developing fruitful relationships with potential donors. Furthermore, the president should regularly be a key player in directly soliciting gifts from major donors. In addition, it has been common practice in my experience that the president is intimately involved in the strategic discussions and planning around the cultivation and solicitation of gifts at this level.

It has long been accepted among practitioners that there is both an art and a science to fundraising; soliciting is where the "art" comes in. Feeling comfortable with asking for gifts may not be easy or natural at first, but it will get easier with time and practice. In your career, you have undoubtedly heard people refer to fundraising—or "asking for money"— with scorn or derision. However, the reality is that you are asking people with an interest in and affinity for your institution—as well as the capacity to make a transformational gift—to co-invest in something that will advance the institution's mission and, hopefully, their own philanthropic goals. If your advancement staff is serving you well,

you will be spending your time engaging with alumni and stakeholders who have the capacity to make a gift, have demonstrated some affinity for your institution, and want to see you and your institution succeed (Seymour 1988).

Also, do not worry about asking for too much. In my experience, many donors are flattered when asked for a substantial gift, even if it is beyond what they might comfortably contemplate. Genuinely engaged donors will want to help the institution achieve its goals and will often try to find the means to make the gift you have solicited.

Be Nimble

Almost inevitably, at some point during your campaign, you will encounter some unexpected challenge or headwind that will require you to reassess your strategy. Examples include the global economic downturn that occurred in 2008 and, more recently, the COVID-19 pandemic. While I have argued earlier for the importance of focus and discipline in managing your campaign, it is also essential that you foster a culture of nimbleness. You and your campaign leadership team need to be adaptable and responsive to changing circumstances. Few campaigns—if any—go entirely according to plans! At Princeton, when faced with the prospect of launching our campaign's public phase in the fall of 2021 during the height of the COVID-19 pandemic, we decided to postpone the public launch. Rather than launch the campaign with the traditional on-campus gala with key donors, we opted to launch a series of online events, a campaign website, and videos that helped engage alumni and other stakeholders in the university's strategic priorities. This approach helped pave the way for a public campaign launch in the fall of 2022. However, even then we had to be nimble: the pandemic was ongoing, and we felt that it would be inappropriate to host a traditional in-person gala event under such circumstances. Instead, we marked the public phase of the campaign digitally, with campus graphics, a video series premiere, and a social media strategy and website.

Despite the turmoil of the past several years, all signs indicate that the need for structured fundraising campaigns will continue to be strong. (Browning 2021). While the traditional fundraising campaign model has served higher education well for many decades, it is clear that we are in a period of reimagining this model. Fundraising campaigns have undergone significant changes in recent years, driven by greater institutional reliance on ever more ambitious goals, by advances in technology, shifts in donor behaviors, changes in perceptions about higher education, and greater competition as more institutions launch campaigns, often on the same timelines. Although the landscape of campaigns and philanthropy is changing, institutions are becoming more strategic in their fundraising efforts; as we move forward, data analytics and predictive modeling, along with our traditional methods, will continue to help us better identify potential donors who will make a gift.

Enjoy the Experience

Finally, I would be remiss if I did not tell you to remember to have fun! Stay focused on the fact that you are involved in truly meaningful work. These efforts will help you and your institution—and all those that it serves—to realize and benefit from its vision for the future. You will build relationships with fascinating people, and you will develop a deep sense of pride as you see the aspirations from your strategic planning take shape and advance on your institu-

tion's ability to fulfill its mission on your campus and beyond. The ultimate outcome will be not just your legacy at the institution, but, more important, the impact your legacy will have on the world.

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Notes

1. Harold J. Seymour, nicknamed Si, is commonly referenced when discussing many accepted practices and principles. His book, originally published in 1966, continues to be helpful and relevant for fundraising: Harold J. Seymour, *Designs for Fund-Raising: Principles, Patterns, Techniques,* 2nd ed. (Rockville, Md.: Fund Raising Institute, 1988).

Chapter 10. Big-Time College Athletics

Dr. Ed Ray

Chapter Overview

In recent years, media contracts in Division I sports increased dramatically, especially for the so-called big five conferences. Money draws scrutiny, and so who gets the money in big-time college sports gets a lot of attention, which has led to the development of policy changes, including the on-demand transfer portal and name, image, and likeness contracts for college athletes. The implications of these developments for the future financing of college athletics, especially for non-revenue sports at all Division I schools, is not obvious. New approaches and strategies will be needed to succeed in this new environment. What do best practices look like?

- Funding revenue and non-revenue sports and keeping faith with Title IX.

Funding for Division I athletics programs is driven by media revenue, mostly generated by football and men's basketball, yet Division I schools are required to sponsor sixteen sports that equally serve men and women. How does the model work, and how must it change?

- The impact of the transfer portal and name-image-likeness programs on college athletics finances and competition.

For the good of the game and the financial viability of Division I college athletics funding, how should transfer modules and access to name-image-likeness funding be regulated?

College Sports: The Uniquely American Way – To Get Fired

Dr. Mark Emmert

American higher education is unique in its embrace of intercollegiate athletics. Nowhere is this more apparent than in universities with "big-time" sports programs, where athletics can appear to overwhelm the academic side of the house. Most presidents enter their roles with little to no preparation for overseeing athletic programs. Rightly or wrongly, the visibility and impact of athletic departments often mean that a president's performance will often be gauged by success in sports as much as what happens in the laboratory or classroom. Ready or not, presidents will be held accountable for the successes and failures of athletic programs on and off the field or court.

Presidents need to make conscious decisions about how they engage with athletic departments. They must find the right balance of direct and indirect involvement that fits their style and their unique situation. Similarly, new presidents need thoughtful strategies for learning the complexities of an often-alien environment. Finally, and perhaps most importantly today, presidents must recognize the dramatic changes underway in college athletics and be prepared to adjust strategies – perhaps radically so – to find the right role for sports on campus.

Most university presidents have heard the old saying, "A president's job security is dependent on providing three things: parking for the faculty, social life for the students, and football for the alumni." This essay is about the latter. The first two I will leave to other authors.

Nothing about American universities befuddles international observers more than college sports. European or Asian university administrators find it bewildering as to why American higher education has so wholeheartedly embraced intercollegiate athletics. Other nations have campus sports teams, but nothing that remotely compares with the drama and pageantry of March Madness or the College Football Playoffs. These totally engrossing events are much more than recreational sports played by college students. They have become iconic parts of American culture. Intercollegiate athletics has become one of the defining attributes of American college life. The popular image of an American campus—large or small—includes football or basketball games, pep bands, and cheer squads. American college presidents are expected to oversee not just the classroom and the laboratory but also the stadium and the arena. Nowhere is that truer than at schools known for high revenue, big-time sports. And nowhere else are the challenges greater.

From very modest beginnings in the mid-nineteenth century, college athletics exploded in size, scale, and economics. What began as an intramural activity overseen by students and alumni is now a multi-billion-dollar enterprise engaged in by small private liberal arts colleges, mammoth state research universities, and everything in between. Within the NCAA alone students from over 1,100 schools compete on over 19,000 teams in more than two dozen different sports. More than 500,000 college athletes annually play NCAA sports. Today pre-collegiate youth sports include many millions of high school students nurturing the hope of playing in college, many striving for a Division I scholarship. Many prospective college students consider the opportunity to play sports a critical factor when choosing a school. Other prospective students are often attracted to the social environment and name recognition that comes with successful intercollegiate athletics. Whether on the biggest stages with 100,000-seat stadiums and national television broadcasts or smaller arenas and local rivalries, college sports provide a way to engage with classmates and have fun. Whether playing or cheering, sports is an integral part of many college students' lives.

The same is true for alumni and community members. The nearly religious devotion of American college sports fans is legendary. Less well recognized is the sheer economic impact on local communities, with shops, bars, hotels, and restaurants often dependent on the flow of fans to town. The passion shown for college teams can be an exhilarating source of pride or the cause of anguish and resentment. Win or lose, fans let university presidents know about their sentiments. It is commonly assumed that a university leader has the same passion for sports as the campus community at large. The president, on paper at least, is in charge and therefore responsible, at least in part, for the joy or angst felt by fans. When things on the field go well, the president is expected to join in the celebration. When they go wrong, the president is expected to fix it, fast.

These pressures tax a president's ability to oversee athletic programs and keep them in equilibrium with the other responsibilities of the job. Staying astride the bucking horse of big-time college sports is one of the most challenging tasks a president faces. Typically, it is a task for which very few presidents are well prepared when they take office.

Congratulations, You're the Boss—Sort of

It is rare to find a university president who was a varsity college athlete in one of the highest profile sports—football or basketball—especially from one of the prominent sports teams. Most presidents come to their positions through career routes that do not require much attention to athletic programs. The great majority of new presidents have very little meaningful experience overseeing college sports. For many the athletic department is an alien landscape unlike the familiar environs of the lab or the library. With its distinctive culture and community, athletic departments are seldom a natural home for presidents.

Presidents are therefore faced with one of two choices. They can accept the natural order of things: sports have always been part of the campus and always will be, so therefore hire a capable athletic director and let well enough alone. Or they can venture onto foreign turf and dig into it—somewhat like an anthropologist coming to grips with how others live. Both choices have risks and rewards.

The first choice is the obvious one. Lacking expertise and having limited ability to influence program direction, a president may decide to let the professionals do their work. The same could be said of academic medical centers or agriculture extension services. The responsibility of the president heading in this direction is to make sound hiring

decisions, set clear expectations and guidelines, review the management and financial data, and evaluate performance. In other words, be a solid professional themselves.

Why choose this route? First, it recognizes some realities. Presidents do indeed have constrained authority when it comes to big-time sports—and even in less-than-big-time sports, for that matter. A glance at any org chart shows the president sitting on top of everything. But a line on a chart is not the same as organizational power. When asked by a member of the faculty senate why not simply eliminate the troublesome and expensive football program, an honest president will answer, "Because if I do, at the next senate meeting, during which you will meet my replacement, you will also learn that football has been reinstated by the board." Becoming involved in coaching choices, helping recruit star athletes, fundraising for athletic causes, or being seen as overly sports-friendly can take presidents outside their comfort zone and beyond their real authority, organization chart be damned. When presidents become aggressively engaged in sports programs, they need to recognize they have stepped into a potential minefield. Professional discretion makes great sense.

And what are the downsides of keeping managerial distance from sports? Errors of omission. Precisely because high-profile sports have such outsized impact on campus and community, the expectations of oversight and control are higher, often unrealistically so. Fans want to win—now. Local business leaders expect the streets to be full of game-day shoppers. Alumni want to brag at the dinner party. And they all believe the president can deliver the goods. Presidents who stay removed from sports programs can have a harder time gaining traction with the athletic department and its many constituents. College sports are often conducted on the edge of the campus, both physically and figuratively. Out of sight and out of mind is a risky proposition for any activity, but especially one that is poorly understood and only partially controlled. Should something go wrong on or off the field, board members and the broader community will point to that very same organization chart. The buck will indeed stop at the president's desk. A hands-off management style will never be an acceptable excuse for a lack of awareness.

The alternative approach to overseeing intercollegiate athletics is to engage more actively with the department, athletes, personnel, and constituents. This commits presidents to learning what they do not know, the ins and outs of college sports at the ground level. For new presidents the questions abound. Do the realities of life for student athletes match up to the recruiting pitch parents are hearing? Do coaches' behaviors line up to espoused values? Is gender equity a real priority or a catchphrase? Is the desire to win consistent with real world resources and in the best interests of athletes? What is this thing, the NCAA? The only way presidents can get honest answers is to actively seek them out in person and through trusted staff. Decoding the culture of an athletic department isn't easy. Presidents are usually foreigners in this land, sometimes welcomed, sometimes not.

A hands-on approach to managing anything requires spending time listening and learning. Athletics is no different. As casual fans, many of us assume we know much more about college sports than we actually do. But as president, that assumption can crash a career. The information and knowledge needed are not arcane or secretive, but they must be sought out and learned. Asking questions of and listening to your own people is the place to start, especially your athletic director. Some staff will be pleasantly surprised—even shocked—that their very own president wants to learn more about the athletic department and what they do and why. This is not just a matter of hearing what the highest profile coach thinks, but also the medical team and trainers, the academic support staff, and the budget director. Personnel processes, financial decision-making, and even capital construction are often run quite differently than they

are in the rest of the campus. In some cases the athletic department is run through a quasi-independent nonprofit organization. New presidents have to master these elements quickly.

Similarly, big-time athletic programs typically come with their own fundraising arm that may operate alongside of—and in some cases in competition with—main campus development efforts. Presidents need to learn their distinct approaches and what they have to offer. They will be the ones pulled into debates about who gets priority access to lead prospects. Donors frequently give to both athletics and academics, but the competitive juices of development officers know no bounds. The dean of engineering may have much to offer a potential donor in the way of recognition and intangible rewards, but can she or he deliver center court seats for a championship game? For a president to sort these matters it is essential to have a working familiarity with sports.

Much like everything else in higher education, seeking out colleagues and professionals with significant experience on the ground is invaluable. Presidents within an athletic conference are a useful source of expertise, particularly the president who represents the conference to the National Collegiate Athletic Association (NCAA). These presidents are not just your academic peers but also your athletic peers. Seeking out those who have taken a hands-on approach and lived to tell the tale is a great place to start. Many have learned by trial and error what it takes to hire an athletic director who can be your trusted partner, or how to manage a high-profile coach's contract negotiations or address a case of severe misconduct. Learn from them. Ask questions. Most presidents deal with these issues once or perhaps twice in a career so the opportunity for on-the-job training is limited. Sharing experience and advice in advance of a crisis is critical.

The same learning curve also applies to a president's key staff members. It is not uncommon for main campus leaders in communications, budget and finance, human resources, and legal affairs to have limited direct exposure to big-time athletic departments. As athletic budgets swell, so do their own specialized staff, engaging less and less with the main campus. Sports information offices turn into full-blown PR operations. Budget directors become well-staffed finance and facilities offices. Without engaged presidential oversight athletic departments can spin off into very independent entities sometimes at odds with the overall goals of the university. In athletic departments that have separate nonprofit organizational status this tendency is especially pronounced. If, however, presidents seek coordination across their entire leadership team—academic and athletic—then they must engage with each other. The president must get them all on the same page about goals, values, and focus. Competing legal or PR opinions from within the university are not the president's friend. Worse, competition and professional jealousies can produce dysfunction and even subterfuge.

The most fraught challenge for presidents at major sports schools can be board relations. Sports often prove to be an irresistible preoccupation for some board members. Friends, colleagues, and most anyone at any given cocktail party will corner board members and deliver private views on the performance of the football team. Board members will be pressed to opine on coaches, recruiting, and play calling. That is expected and, let's be honest, fun. Others, however, will go a step further to befriend the coaches themselves and even individual athletes, sometimes with the strong encouragement of boosters. The allure of being a sports insider is powerful stuff for some. Presidents of big-time sports programs must continually strive to maintain the right balance between their role and that of their board. Direct discussions with one's bosses are not always easy. But it is helpful to review everyone's roles before there is a crisis in the athletic department, not during or after. Establishing clarity about roles, responsibilities, and authority for

hiring athletic directors and coaches, for budget and fundraising decisions, for responding to an NCAA matter, or even for seemingly simple things like ticket allocation, is much easier before a problem arises than after. Board members rarely think they should have the final say on hiring a provost. The athletic director or football coach may well be a very different matter. If there are disagreements about respective authority between the president and the board, it is much better to find out in advance.

It's All About the Student-Athletes—Until It's Not

Over 115 years ago the NCAA was founded by a small group of university presidents. Intercollegiate athletics was already ubiquitous and extremely popular on campus and off. It was also wildly dangerous, largely untethered to academics, and utterly unregulated. In 1904 alone there were eighteen deaths on the football field. Many presidents, editorial pages, and politicians had seen enough. They demanded change. So in 1905 sixty-two founding schools set forth their views on the fundamental principles of college sports. First, intercollegiate athletes must be students playing other students, and the activities should be structured so as to not interfere with but rather promote academic success. Second, the health and wellness of these athletes should be promoted and protected to the fullest extent possible. Third, the games should be conducted in a way that furthers fairness among competitors and for the athletes, providing a level playing field for all. These principles have been reaffirmed by NCAA boards again and again. For campus presidents these concepts can and should be touchstones for overseeing athletic departments (Crowley 2006).

These three principles still guide the presidents, athletic administrators, and faculty representatives who serve voluntarily on NCAA boards and committees. Their work, past and present, has dramatically improved college sports for athletes. All NCAA sports are now played under rules aimed to protect safety and provide fairness. Schools recruit athletes not just with bigger stadiums and fancy amenities but also with training facilities and nutritional programs. Every major athletic department now includes academic support staff to assist athletes in their studies, trainers and medical professionals to help athletes remain healthy and fit, mental health experts, and much more—all reflecting the three basic principles. At the campus level presidents can use this same template for decision-making. When new investments are being proposed, new hires being made, or a new media deal being struck, a few simple questions will serve a president well: Will this support or discourage the academic success of our athletes? Will it promote our athletes' physical and mental health and well-being? Is it fair for all involved, especially the athletes playing the game?

Nationally, the results of following these principles have been impressive. Within Division I, the highest level of NCAA competition, across the country college athletes have higher graduation rates than their peers. African American athletes' graduation rates are typically 12 percent higher than their counterparts on campus. Similarly, the health care, training and nutrition support provided DI athletes is impressive, with obvious outcomes in the prevention and management of injuries. Further, the overall financial assistance offered to today's athletes dwarfs that of a generation ago. There is no doubt that campuses are serving college athletes very well today (NCAA Report 2022).

And yet there is growing concern that college athletes are being exploited for the sake of money to be made by universities—that they are treated not as students but as unpaid "employees" serving the school rather than the other way around. The rapid growth in revenue brought in by athletic departments is doubtlessly at the heart of these concerns. Indeed, to the outside world it often appears that college sports is focused not on the athletes but on chasing media

contracts and ticket sales to afford ever higher coach's salaries and swankier locker rooms. They see coaches richly rewarded for winning games and wonder at what cost to athletes. These are reasonable questions. New multibillion-dollar media contracts are announced with regularity. Sports budgets have grown much more rapidly than academic budgets. Salaries in athletic departments have exploded relative to those of the faculty in recent years. The public at large doesn't see graduation rates. They see dollar signs.

Throughout its history college athletics has faced a quandary: Does it exist primarily to promote the development of its student athletes, or does it exist primarily to provide sports entertainment for the masses. The answer is both. University presidents overseeing big-time sports find themselves straddling these two functions. Getting the balance right is the great challenge of college sports. Winning games, especially in football and men's basketball, pleases everyone. Plus, it can produce the revenue needed to support the athletes, hire coaches, build new facilities—all of which are needed to continue to win games. On its face this appears to be a virtuous cycle. But that is true only if the biggest winners are the athletes themselves and only if the process of winning reinforces the values of the university. The key question today and into the future must be, what does this mean for the athletes themselves? Are they being treated fairly? Are they getting what they seek from athletic participation? If the mission of an athletic department is solely to grow more revenue so it can win more games, so it can grow more revenue, so it can win more . . . , then something is badly amiss.

For a president this distinction is critical to true success in college athletics. A program that supports the academic and athletic aspirations of athletes and does so in a manner consistent with the best traditions of human development is a remarkable asset for the students and the school alike. One that includes winning at the highest levels is even better. But a department or team that wins games but fails its athletes should be anathema to any university. Successful presidents need to know the difference.

These Times They Are A-Changing—And We Need to as Well

The precarious balance between conducting college sports as part of the human development of students and doing so simply for entertainment has not gotten easier for presidents. And it's not going to anytime soon. The past decade brought with it remarkable change and uncertainty in college sports. But one thing is clear, the next decade will be even more tumultuous. The financial, political, legal, and public relations environment within which sports operates has evolved rapidly. Universities have been adjusting quickly, passing new rules and regulations within the NCAA structure, increasing support services for athletes, adding funds to improve athletes' quality of life, and offering more flexibility for athletic participation. Presidents must be well versed on this changing landscape and work to find solutions to a new set of questions (Wood and Close 2021). It is insufficient for presidents of universities with high-profile sports programs to assume that their conference or the NCAA representatives will resolve all the uncertainty afoot. Both those organizations are membership organizations. They require active and thoughtful engagement by presidents. This is especially true right now.

Today the traditional principles of college sports are being debated. The most pressing question revolves around the core relationship between college athletes and their schools: Are they students playing other students, or are they professionals being paid to provide entertainment? This is an old debate as we all know. But today it is fueled by dynamics

outside the authority of sports organizations. The future state of college sports, particularly high-revenue sports, may well be decided in a court room or under a capitol rotunda, not on campus. Presidents must recognize the external dynamics as well as internal ones shaping the direction of sports. Should they wish to influence that direction, they must be active, informed, and engaged.

The most apparent of these changes are being driven by money. The role of media contracts in college sports determines conference realignments, scheduling, and post-season play. The consolidation of high-revenue teams in a decreasing number of conferences has upended long-standing relationships and business models. Some schools have been sent scrambling to new homes while others have counted up new revenue. For presidents this means they cannot simply stand aside and watch. It is essential that a president and his or her athletic director are attentive to the dynamics of the media markets and anticipates to the extent possible where the markets are headed. Presidents do not need to know how to negotiate a media contract, but they better understand them. For big-time sports programs those contracts can determine much of what goes on in the lives of athletes: when they play, whom they play, how far they travel, who watches them, and what resources are available to support them are all included in those agreements. Others will do the negotiations, but presidents must have the final word, and they need to be well informed to do so.

The legal environment for college sports is also changing. Campuses, conferences, and the NCAA are now routinely embroiled in lawsuits and legal matters. Federal and state courts have both been engaged in a multiplicity of issues. Presidents need to stay abreast of these topics and have appropriate legal advice available. It is prudent to have routine discussions with general counsels about the legal risks and responsibilities associated with athletic programs. Similarly, presidents need to be aware of any state or federal regulatory requirements their athletic departments need to comply with. Many potentially dramatic changes are afoot (Murphy 2023). A lack of knowledge or understanding is not a defense. Presidents again need to turn to their colleagues, commissioners, and NCAA leadership to learn about the present environment and what is heading at them. It has never been more important to work closely with your athletic director. Taking time with your AD, commissioner, and NCAA reps to routinely scan the horizon is critical work right now.

Also, recently state legislatures have weighed in on college sports issues holding hearings, introducing and passing bills. Never before have state governments taken such active positions on athletics. Bills in California alone have shifted rules and the legal environment on Name, Image, and Likeness (NIL) and may well lead to direct revenue sharing and employment status (Sanders and Coughlin 2023). Other states have for reasons of competition joined in quickly. All indications are that the current trend will continue. Presidents will need to be attentive to and engaged in these debates. Now, more than ever, presidents need to coordinate the work of their government relations offices with their athletic department. State legislators must be informed about the impact of legislative proposals on athletes and their programs. Given the high level of misunderstanding and mistrust about college athletics, presidents and their staffs need to proactively work with legislators on sports issues.

Finally, while media and public attention has always been focused on college sports, that attention has shifted. Higher education in general and sports in particular are no longer looked at with any deference. As unsettling as it may be, the public and the media do not accept on face value that university leaders have the best interests of athletes at heart. Quite the contrary in many cases. It must be proven to them that universities care more about their athletes than their bottom line. Presidents must now assume skepticism in audiences and make the case—backed up by the realities on

the ground—that they are supporting their athletes appropriately. Communication efforts need to proactively inform and educate about the support given and success achieved on campus. But a president's actions are dramatically more powerful than words. Whether it is by the allocation of resources, holding people accountable, or correcting past mistakes, president can send clear and convincing messages to their campuses and communities by what they do as well as say. Absent that, the public and the critics will assume otherwise.

Keeping Your Job and Feeling Good About It

For university presidents, athletics may be both the most frustrating and satisfying activity of all. Given the complexity of the modern presidency, that says a lot. The land mines surrounding athletics are abundant. Many presidents have unwittingly stepped on some—me included. The common reaction is to back away and leave sports to others. Some presidents have had long, successful careers without stepping into the training room or the locker room. But that would also be a shame. Some of the great moments on campus can come from hearing a volleyball player explain what playing the game means, from watching the passion of teams working together, or from seeing coaches console broken-hearted athletes after a bad loss. Athletics programs, of course, are not the only place this happens on campus. But it is certainly one of the most compelling.

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The Collegiate Model at Risk

Mr. S. Scott Barnes

Intercollegiate athletics has grown exponentially since its first known competition in 1852 and the eventual formation of the National Collegiate Athletic Association (NCAA) in 1906. In particular, the popularity of college football has fueled significant new revenue growth. At the highest level of competition Autonomy 5 (A5) athletic conference media contracts, college football playoff proceeds, campus multimedia rights guarantees, and other growing revenues have contributed to a multibillion-dollar industry. By examining recently adopted NCAA legislation, current and proposed state and federal laws, recent articles and events, best practices, and my own experiences, I'll explore the seismic shifts occurring in intercollegiate athletics and the potential aftermath. In recent years, excessively rising expenses, particularly in college coaches' salaries and facilities, have increased scrutiny and attention as well as created the narrative that student-athletes do not get their fair share. This narrative helped fuel the advent of Name, Image, and Likeness funding (NIL), new educational benefits allowed via the Alston Supreme Court ruling and NCAA transfer portal rules, each creating significant new financial benefits and unfamiliar flexibility. At the same time these benefits have compounded the escalating cost of operating an A5 program and, in the case of NIL, have begun to shift revenues away from athletic departments and directly to the student-athlete. While these new opportunities are financially beneficial to the student-athlete, unintended consequences come with them. The lack of national standards in the NIL space and ineffective enforcement of NCAA recruiting rules, a free agent market that has emerged out of new transfer portal legislation, mounting financial pressures making it more difficult to fund broad-based sports programs, and navigating federal Title IX laws that are becoming increasingly difficult to comply with to name a few. With the college landscape pendulum swinging closer to a pay for play model how will the current collegiate model be affected and how will autonomy five athletic departments navigate these changes?

Intercollegiate athletics has grown and evolved exponentially since the first known competition, widely thought to be a men's rowing race in 1852 between Harvard and Yale (Shiff 2017). Motivated by safety concerns, primarily around football, and the need for nationally standardized rules in competition and recruiting, President Theodore Roosevelt established the National Collegiate Athletic Association (NCAA) in 1906 as the main governing body of intercollegiate sports ("History" 2021). This model, which fully integrated intercollegiate sports into the university ethos, was unique to the world. To this day no other institutions of higher learning around the globe employ this type of sports programming in a higher education setting. Intercollegiate sports has produced enormous benefits for the student-athlete both directly and developmentally. Further, the life lessons gained through participating as a college athlete are undeniable. Yet intercollegiate athletics has endured much scrutiny and criticism throughout its existence. As early as

that fateful boat race in 1852, ineligibility and financial inducements were reported to be in play. Over time major college sports have gained a reputation for having too much money flowing through the system, thus creating a culture of cheating and corruption. Moreover, the notion of college athletes having amateur status has been challenged by many, to the point, that the NCAA no longer uses amateurism in describing student-athletes' participation in college athletics. Rather, it has adopted the moniker of a collegiate model in hopes that it is a more palatable portrayal of the happenings in college sports to the critics (Dodd 2021).

Many of the talking heads reporting on college sports say that student-athletes should receive a direct share of the revenues generated by college athletic programs (Bouchrika 2023). Fast-forward to 2023 and student-athletes who for decades received a full-ride scholarship consisting of room, board, tuition, fees and books, additional meals, now receive significant additional financial benefits. In 2015 Cost of Attendance legislation (COA) was granted by the NCAA as a permissive cash award in addition to the full scholarship (NCAA 2015). Nearly all Football Bowl Subdivision (FBS) institutions participate in COA, which can be up to $6,000 annually per student-athlete based on the cost-of-living index in each city (Solomon 2015). Further, student-athletes receive Alston benefits, additional meals, nutritional supplements, academic and mental health counseling, health care, strength and conditioning training, and coaching. Per the Oregon State University business office, the department invests an average of $275,000 in student-athlete-related benefits and resources over the course of five years for nonresident student-athletes. The aforementioned benefits are rarely reported on by the talking heads, and the practitioners of college athletics (athletic directors) must do more to educate the public on what the current investment in our student-athletes includes.

The Alston Decision

The Alston decision and Supreme Court Justice Brett Kavanaugh's subsequent reference to student-athletes as "workers who should be paid a market rate for their work" (McLaughlin 2021) are threats to the collegiate model. The Alston ruling was a unanimous decision by the Supreme Court against the NCAA. This June 2021 ruling said that the NCAA could not enforce certain rules limiting the educational benefits provided to student-athletes such as computers, graduate scholarships, paid internships, study abroad programs, and cash awards for academic achievement. Under previous NCAA legislation student-athletes could not be paid. The grant and aid money offered and received was capped at the full cost of attendance, and the NCAA defended its rules as necessary to preserve the collegiate model. Once the Alston ruling went into effect, the NCAA no longer could restrict educational benefits for its student-athletes. Further, the ruling only considered football and men's basketball, the high-profile revenue sports. However, due to the inability of NCAA member institutions to meet federal Title IX requirements by providing these benefits only to football and men's basketball, the NCAA ruled that it would open Alston benefits to all student-athletes in sponsored sports (Supreme Court of the United States 2021).

The ruling is permissive, allowing each institution and athletic conference to fund these benefits based on financial resources available. As Alston benefits have begun to roll out in athletic departments across the county, the primary focus at the Autonomy 5 (A5) level is to provide cash awards of $5,980 which may be awarded for academic achievement. This amount was derived from a suggested equivalent value of athletic awards a student-athlete might receive for participation in preseason tournaments, post-season playoffs, and championships. With student-athletes already receiving full scholarships, cost of attendance benefits, and many non-cash awards such as equipment, graduate schol-

arships, and internships, this additional monetary educational benefit was debated among NCAA member institutions as to whether it was necessary. Ultimately, athletic programs realized that in order to stay relevant in the recruiting space, Alston cash benefits needed to be provided. As such, in just its second year of existence, nearly all sixty-five Autonomy 5 institutions are providing the full cash award of $5,980. Recruiting pressures have dictated that these funds be provided across all sports sponsored by member institutions. Awarding these funds to only the highest achievers (student-athletes with a 3.5 or above),could create a less equitable distribution of funds among underrepresented groups.

The estimated cost per athletic department is in the seven-figure range per year depending on the number of sports programs each institution sponsors and their respective distribution model (Kurdziel 2022). In most cases, cash awards for academic achievement are provided when student-athletes meet NCAA minimum eligibility requirements. At Oregon State University (OSU), 50 percent of the Alston cash award is distributed based on meeting NCAA minimum eligibility requirements while the remaining 50 percent is based on participation in student development programming; financial literacy, résumé writing, and Diversity, Equity, Inclusion and Belonging (DEIB) education are a few examples.

The allocation model at OSU mirrors the scholarship distribution model based on headcount sports. Student-athletes receive full scholarships, and equivalency sports student-athletes receive mostly partial scholarships; they receive proportional awards—for example, if a student-athlete is on a 25 percent scholarship, they receive 25 percent of Alston benefits. This "mirroring" assists in staying compliant with Title IX requirements and is utilized in other Pac12 programs. An additional consideration among Pac12 conference intuitions is whether to provide Alston benefits to walk-ons (non-scholarship student-athletes). In most circumstances it is difficult to balance Title IX requirements due to the imbalance football creates because the sport typically carries far more walk-ons than any women's sports.

In a world dominated by a pay-for-play narrative, it is important to clarify that the Alston decision did not decide whether student-athletes could be paid for participating in college athletics, rather, its ruling was narrow and tethered specifically to not allowing the NCAA to cap educational benefits. It is expected that the OSU Alston benefits program will cost $2 million annually. These benefits are new unbudgeted line-item expenses for OSU and will contribute to the mounting costs required to operate our athletics programs. Alston benefits are one of many recent examples of new mounting unbudgeted expenses that continue to add to growing athletic budgets.

Name, Image and Likeness

Absent NCAA rule enforcement and guardrails for Name, Image, and Likeness (NIL) is another threat to the collegiate model. NIL can be traced back to a court case between former UCLA basketball player Ed O'Bannon vs the NCAA in 2015. In this case O'Bannon and others sued the NCAA saying they violated antitrust laws for not allowing student-athletes to receive a share of the revenue for using their likeness in video games. Fast-forward to 2019 when California Governor Gavin Newsom signed the Fair Pay to Play Act in California (Keller 2023). This, coupled with the NCAA's shattering loss vs. Alston in the spring of 2021, created enormous pressure for the NCAA to create its own NIL legislation (Supreme Court of the United States, 2021). The Division I, II, and III NCAA governing boards passed NIL rules on June 30, 2021. Immediately following the Alston ruling, several states, including Ore-

gon, passed Name Image and Likeness (NIL) legislation which allowed student-athletes to engage in NIL activities for compensation from third parties while participating in intercollegiate athletics. For states that now had new NIL rules athletic departments launched frantically into creating policies and procedures. The NIL airplane was still being built as it lifted off the runway.

In most states these new permissible NIL activities include social media posts, influencer activities, private lessons, camps, clinics, sale of autographs, goods and services, starting a business, advertisement appearances and personal appearances, as well as other third-party endorsements. Although the passage of this new legislation was a seismic shift in the collegiate model, most university leadership worked to embrace these changes. After all, the entire general student body has always been able to participate in NIL types of activities. The thought was if an undergraduate majoring in music could provide piano lessons for a fee, why couldn't a golf student-athlete provide golf lessons for a fee too? Or if a student, majoring in entrepreneurship wanted to start an apparel business, why couldn't a football student-athlete start his own lawn care business utilizing his name, image, and likeness? It was understood that the NCAA would strongly enforce current rules and develop guardrails, particularly in the recruiting and transfer space, to combat potential bad actors from engaging in illegal NIL activities. A NIL committee was formed in part for this purpose. However, the NCAA rolled out weak interim NIL guardrails concurrent with various state laws, stating that the legal and legislative landscape prevented them from a more permanent solution. Further, the NCAA said that they were waiting for Congress to create a federal solution.

Each state, governed by its own NIL laws, can be very different from the others. The states with fewer restrictions have the upper hand in recruiting and retaining student-athletes. For instance, in Tennessee, Ohio, and Louisiana, athletic department employees are permitted to arrange NIL deals for their student-athletes, which provides a distinct competitive advantage over most states where this is not permissible. The states that do not have NIL laws in place have even fewer restrictions. Currently, twenty-nine states have NIL laws with twelve, including Washington, DC, having proposed legislation (Keller 2023). Compounding these problems is the overall lack of enforcement by the NCAA.

Several senators have begun championing proposed federal bills for the purpose of setting national NIL standards, but none has yet to become ratified as law. Some of these draft bills are more in line with the collegiate model while others move closer to the pay-for-play model. In the meantime, cheating is becoming commonplace. One evolving example of corrupt NIL activity is the abuse found within the formation of collectives. These LLCs or 501c3 entities are created by boosters to pool funds for distribution to student-athletes who participate in NIL activities, which is permissible. However, the growing concern is that these pooled funds are being used to illegally induce recruits not yet enrolled at a university or to poach transfer student-athletes enrolled at other universities (Auerbach 2022). Boosters who make up these collectives are creating a highest-bidder marketplace where NIL activities are not commensurate with the large sums of money these prospects and transfer student-athletes are being offered. In some cases, these NIL deals are in the millions of dollars and are absent of any true fair market value. In the case of impermissible contact of recruits or transfer student-athletes, it is difficult to trace because many college coaches and staff members are encouraging third-party representatives or family members to contact their institutions or recruits to gauge interest rather than college coaches making contact directly. In many cases, deals are being negotiated ahead of these students being enrolled at a university, which is expressly prohibited by current NCAA rules. The lack of enforcement by the NCAA early on has led to a growing climate of corruption. The under-the-table inducement activities that have

occurred for years are now blatantly out in the open, have grown exponentially, and will not easily be curbed without strong, enforceable federal standards.

The impact NIL will have on these revenue streams is yet to be fully understood, but many schools are beginning to see stakeholders make choices that are directly affecting athletic department revenues. For example, a donor who was considering a financial contribution to a particular philanthropic initiative within the athletic department now may consider choosing between that or contributing to a NIL collective to benefit the student-athletes or splitting the gift between the two. Similarly, a business that has in past years purchased an athletic department sponsorship package may now choose to reduce its investment to support a student-athletes NIL activity directly and thus reducing revenues to the athletic department.

NCAA Transformation Committee

The 2022 NCAA national convention was deemed the Constitutional Convention focused on the decentralization of the NCAA governance structure to empower each of its three subdivisions to create their own structure independent of each other. The premise was that an Autonomy 5 (A5) institution generating over $200 million in annual revenues has little in common with a Division III institution that generates $200,000 in annual revenue. Or for that matter, what does a Division I Football Championship Subdivision (FCS) institution that generates $500,000 in annual revenues have in common with the same A5 institution? NCAA president Mark Emmert said the new constitution was "more of a 'declaration of independence' that will allow each of the association's three divisions to govern itself" (CNBC 2022). Not only was a new path created for independent governance structures at the Division I, II, and III levels but legislative concepts that created independence within Division I itself continue to be considered. Ultimately it was decided that keeping Division I under one umbrella was best but only if minimum standards directly in support of the student-athlete are met by member institutions. These new standards could include enhanced mental health services, expanded medical insurance coverage, career and life skills, and financial counseling while enrolled, as well as extending medical coverage and scholarship support well beyond a student-athlete's eligibility. These concepts will likely be ratified into legislation in the near future.

The NCAA constitution has shrunk from 43 to 18.5 pages and this decentralized model is believed to reduce intercollegiate athletics' legal battles (CNBC 2022). With antitrust lawsuit pressures mounting the NCAA commissioned the Transformation Committee to develop proposals for Division I through the lens of mitigating antitrust legal risk in intercollegiate athletics. NCAA rules that addressed things closest to the field of competition (playing rules) were deemed the least risky, and those rules furthest from the field of competition (limits on coaching personnel and scholarships) were the riskiest when considering potential lawsuits. The committee was tasked with improving the student-athlete experience specifically by (1) elevating the direct support for student-athletes' mental, physical, and academic well-being; (2) enhancing the Division I championship experience; and (3) building a faster, fairer, and more equitable Division I, including improved efficiencies in the infraction process, governance, and decision-making (NCAA 2023). With several antitrust attorneys in the room guiding the process these proposals were also focused on removing long-standing NCAA bylaws that put limits on things like scholarships, roster sizes, and the number of coaches you could employ for each sport sponsored by your institution. These limits had been in place for decades largely for the sake of cost containment and preserving competitive equity.

With the primary focus on mitigating risk and being "transformative," many concepts born out of the committee's work lacked common sense and fiscal responsibility, making them impractical, therefore challenging the collegiate model. These concepts included unlimited scholarships and an unlimited number of full-time coaching positions for each sponsored sport. A bit of common sense prevailed, however, and these concepts were either met with compromise or shelved for further review. Providing unlimited scholarships morphed into potentially providing equivalency sports with higher limits that mirror roster sizes. For example, baseball is capped at 11.7 full equivalency scholarships, but would be increased to 30–35 based on average roster size. Instead of passing a proposal that allowed unlimited full-time coaching positions, a proposal was adopted that allows sports utilizing volunteer assistants (or graduate assistants in football) to convert them to full-time coaching positions. Limiting access to championships was considered another liability concern. As such, a concept to increase access for participation in post-season championships to 25 percent of the total programs sponsoring the NCAA championship sports which have at least two hundred institutions participating in the regular season in that sport. Perhaps the most sweeping proposal is to create minimum standards at the A5 level. These standards are primarily focused on providing a baseline of additional student-athlete benefits specific to overall health and wellness. For example, to participate at the A5 level and receive the requisite distributions you must provide a baseline of mental health resources. Extending health benefits beyond eligibility is another concept being considered. The committee's recommendations will undoubtedly put further financial pressure on athletic department budgets.

The Transfer Portal Phenomenon

A new liberalized approach to handling transfer student-athletes via the transfer portal coupled with illegal NIL inducements is another factor negatively affecting the collegiate model. In the fall of 2018, the NCAA launched the transfer portal database to help manage and facilitate student-athletes seeking to transfer from one institution to another. The portal has brought transparency to the process and real-time national exposure to anyone who desires to transfer. This, unfortunately, has created a perceived enhanced value for the transferring student-athlete because added exposure is provided on this instant national platform. In 2021 transfer rules were greatly liberalized in the name of student-athlete rights. Student-athletes in Division I football, men's and women's basketball, ice hockey, and baseball are now able to transfer at any time of year, including in the middle of a season of competition, without having to establish a year in residency, and they could immediately play the following season. In prior years not only did transfers have to sit out a year but in the Pac12 for instance, they also lost a year of eligibility if they transferred to another school within the conference. Although viewed by some as a draconian measure, this penalty helped dissuade Pac12 member institutions from cannibalizing each other by recruiting from each other's active rosters.

The advent of the transfer portal's liberalized transfer rules and NIL inducement activities together have created an unhealthy sort of free agent market effect in college athletics. There are without question many sound reasons for student-athletes (or students generally) to transfer, which benefit them long-term. However, these current conditions have created a student-athlete mentality that sticking with it, competing where you are, and overcoming adversity are no longer the focus. We have fostered an easy way out, a "grass is greener" mind-set in the student-athletes, and in doing so we have legislated some of the life lessons experienced within the collegiate model out of college athletics. This notion is supported by the staggering increase in transfer activity. During 2021-22, 2,067 Football Bowl Subdivision (FBS) football student-athletes were in the transfer portal compared to 1,042 in 2019-20. In Men's Division

I basketball, 1,501 were in the portal in May 2022 compared with 855 in May 2020. Even more concerning is the fact that 24 percent of both football and men's basketball student-athletes are not finding new homes with a scholarship (Transfer Portal Data: Division I Student-Athlete Transfer Trends 2022). Due to this increased transfer activity, NCAA Division I members wanted to slow this migration trend down. One concept is to create transfer windows for select sports to narrow the timeline for when a student-athlete may transfer. Another is waiting until the end of a given sport's competitive season to open the transfer window and closing it within forty-five days, which, may create a more informed and less emotional decision-making process for the student-athletes because they have completed their season. Further, it would afford coaches a better opportunity to manage their team rosters for the following season by potentially limiting transfer activity.

A Tipping Point for College Athletics

The introduction of a new bill in California, the College Athlete Protection Act, is yet another example of the forces eroding the future of the collegiate model (Murphy 2023). This bill calls for direct payments to student-athletes via revenue share for simply participating in their sport. The closer we move toward a pay-for-play model, and perhaps even the reclassification of the student-athletes as employees, the further we move away from our mission and core values, which are underpinned by delivering the holistic development of the student-athlete through broad-based sports sponsorship within the framework and ethos of higher education. This mission and framework, although far from perfect, continues to deliver on the promise to help develop tomorrow's productive citizens and leaders through the experience each of our student- athletes have across all our sponsored sports. There are many forces at play, from Supreme Court Justice Kavanaugh referring to "student-athletes as workers who should be paid a market rate" to the out-of-control cheating occurring in the A5 name, image, and likeness space, to the free agent mind-set the transfer portal has helped create. The collegiate model is at a tipping point. If more dollars are directed to fewer student-athletes because a pay-for-play employment model is adopted, the more likely it is that broad-based programs disappear, and scholarship and participation opportunities will be lost (currently sixteen sponsored sports are required at the FBS level). They would be replaced with poorly funded semiprofessional sports programs in the major revenue sports, and the collegiate model would no longer serve as an attractive alternative to professional sports currently supported by the general public.

There are several potential solutions to the issues intercollegiate athletics are facing today. Finding a solution starts with changing the narrative and sharing very publicly the significant benefits, platform, and opportunities we provide to our student-athletes and the immeasurable success stories we witness daily.

In closing, it is important to acknowledge that nearly every A5 athletic department is considered an auxiliary enterprise on the campuses where they reside, and most of the funding for these athletic departments comes from external sources. This necessitates an entrepreneurial self-reliance, risk tolerance, and workflow pace that is not typical of other units on campus. In addition, the NCAA legislative process, including the ability to adopt emergency legislation dictates that decisions be made much faster in athletics than the general university-shared governance process is used to. All this demands that the athletic department operates with a high degree of integrity, develops strong lines of communication with campus partners, and facilitates collaboration on key issues. Effective athletic directors understand that to be excellent in their role they must be willing to learn and take interest in the larger university priorities, sup-

port other units as well as the campus community at large. This coupled with prioritizing communication and collaboration with key campus partners, building trust by taking appropriate actions, and being accountable for those actions will develop confidence in the athletic department, creating a more effective work environment at a time when collegiate athletics is at a tipping point.

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Chapter 11. Internal and External Communications and Accountability in Crisis

Dr. Ed Ray

Chapter Overview

All private and public institutions have local boards to which the chancellor or president reports, and many public institutions also report to system boards. How does a leader operationalize a policy of no surprises with an institution board and/or a system board? What do effective communications between boards and campus leaders look like in the context of a crisis? How are responsibilities assigned and performance monitored within the college/university to address a crisis? How can alignment be established and maintained in the face of a crisis with regard to strategic planning and the deployment of resources to implement planned actions? How does the institution communicate effectively with its many internal and external constituencies, given the existence of continuous review by internal and external constituencies?

- Creating a common agenda with the Board of Trustees, faculty, staff, and students.

Within every academic institution, there are many constituencies that one would hope are aligned as much as possible to common objectives. How does one foster alignment among the board, faculty, staff, unions, and students? Do those relationships change in the face of a crisis?

- Effective communications with alumni, friends, community leaders, and state and federal legislators.

In a multimedia environment, what is best practice for effective communications with external constituents? Do communication requirements change in the face of a crisis?

To Tell the Truth: Crisis Communication in A Post-Truth Era

Dr. Lynn Pasquerella

The worst global pandemic in more than a century coincided with a profound moment of racial reckoning in the U.S., shining a spotlight on the critical importance of effective crisis communications by campus leaders. Amid charges that presidents' public statements on issues of racial and social justice and the health and well-being of their communities had become mere performative acts propelled by either a liability-driven or corporate ethic, many experienced a reluctance to engage in the level of communication required by normative leadership during crises. Indeed, surveys showed that crisis communication was one of the top three areas campus leaders felt least prepared to tackle.

The complexities of communicating about internal and external crises is enhanced by a burgeoning mistrust in higher education and the pervasive influence of social media. Within this post-truth era, in which facts ostensibly matter less than controlling the narrative, controversies often make it into the headlines before reaching the president's desk. Various constituencies—students, faculty, staff, alumni, governing boards, and the extramural community— often demand immediate, and different, types of responses. Yet, presidents who do communicate swiftly, frequently, and authentically in addressing the urgent matters of the day, are consequently accused of undermining avowed commitments to shared governance and collaborative decision-making.

This chapter details action steps college and university presidents should take before making public statements about crises, the values that should inform them, and the crucial role of resilience in ensuring that immediate challenges do not undermine an institution's long-term strategic goals.

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The complexities of effectively communicating about internal and external crises have been enhanced recently by a burgeoning mistrust in higher education and the pervasive influence of social media. Within this post-truth era, in which facts ostensibly matter less than controlling the narrative, controversies often make it into the headlines or go viral during a 24/7 news cycle before ever reaching the president's desk. Various constituencies—students, faculty,

staff, alumni, governing boards, and the extramural community—demand immediate and sometimes differing types of responses. Yet presidents who do communicate swiftly, frequently, and authentically in addressing unanticipated urgent matters are consequently accused of undermining avowed commitments to shared governance and collaborative decision-making.

This chapter details action steps college and university presidents should take before making public statements about crises, the values that should inform them, and the crucial role of resilience in ensuring that immediate challenges do not undermine an institution's long-term strategic goals.

How COVID-19 Changed Everything

Messaging to address the needs and concerns of various constituents during a crisis is a central component of successful presidential leadership. Indeed, in their study on pathways to the university presidency and the future of higher education leadership, journalist Jeff Selingo and his research colleagues note that in interviews with 165 public and private college and university presidents, being a strong communicator was identified as the second most important skill needed for the job, after strategic thinking (Selingo, Chheng, and Clark 2017, 2). However, even before the onset of COVID-19, an American Council of Education survey revealed that crisis management and the concomitant communication it requires is one of the top three areas campus leaders have felt least prepared to tackle (Gagliardi, Espinosa, Turk, and Taylor 2017).

These findings are understandable given the intricate and multilayered nature of crises that have befallen college campuses over the past decade. Beyond coping with devastating natural disasters such as hurricanes, floods, and fires that have precipitated campus closures, college and university presidents have been confronted by high-profile incidents ranging from mass shootings, bomb threats, and White Supremacist marches to admission scandals, hazing deaths, incidents of sexual abuse and harassment, violent clashes over freedom of expression, and resurgent activism around issues of racial and social justice. These scenarios have tested the abilities of college and university presidents around crisis communications in new and extraordinary ways, heightening attention to crisis readiness in higher education.

Even so, no one could have anticipated the monumental challenges posed by the impact of COVID-19 for campus leaders when exercising the key competencies of writing and speaking to diverse audiences during times of crisis. From the moment in March 2020 when the World Health Organization declared COVID-19 a public health emergency, college and university presidents were met with a series of questions about how to respond, particularly with respect to mask mandates, quarantines, campus closures, and the transition to remote learning. Immediate concerns were raised by faculty, staff, students, parents, and members of the extramural community over whether the measures taken by campus leaders were sufficient to protect the health and safety of everyone involved, or alternatively, an unwarranted infringement on individual liberties. The rapidity with which scientific information and medical advice was evolving created additional layers of complexity regarding the correct course of action, how much should be communicated, and how often. These challenges became even more daunting when vaccines became available, and campus leaders were forced to decide whether to require this public health measure and, for some, whether to stand up to state laws proscribing them.

As crisis teams came together to strategize, it became clear that preventing the transmission of the virus was not the only factor to be considered in safeguarding well-being. Communications foreshadowing closures were met by a surge in petitions from students hoping to stay on campus due to food and shelter insecurities, inadequate access to computers and high-speed internet, or the inability to travel home because of their international status. Presidents who decided to move to online instruction out of "an abundance of caution" were confronted by frustrated, beleaguered faculty who took on additional workloads and felt ill-prepared for delivering their classes in an unfamiliar format. They were joined by angry students, especially seniors who felt cheated out of commencement ceremonies and co-curricular activities marking milestones in their educational journeys, and by parents demanding refunds for what they saw as a bait-and-switch approach to charging the same tuition for what they considered to be a lesser quality learning experience. As uncertainty around the future continued, staff, too, became increasingly vocal in calling for clarity around job security throughout campus shutdowns and for continued work flexibility when they reopened. Together, these responses signal the importance of presidents knowing whom they lead, since what constitutes a local crisis is often a function of campus and community culture.

Worsening Culture Wars

The nuances entailed in the nature, scope, and frequency of communications around COVID were magnified by escalating culture wars. By the end of the first semester in which campus leaders were dealing with the pandemic, anti-lockdown and anti-mask rallies were being held in half of the states across the US. Educators, health experts, and other scientists advocating for mask mandates and quarantines were compared to Nazis, fascists, and the Taliban. Roving strangers with targeted agendas used social media to enlist the public in opposing such measures on campuses—some setting up troll accounts to spread disinformation. At the same time, just as data were emerging about the disparately negative impact of COVID-19 on communities of color, and in the aftermath of a series of brutal murders of African Americans at the hands of White police officers, Black Lives Matter protests spread across the country and around the world. These efforts to call out structural racism were met with backlash in the form of a new wave of overt racism, sexism, homophobia, anti-Semitism, and anti-Asian sentiment, catalyzing fear and apprehension among college students.

A campaign against books like the *New York Times*'s *1619 Project* and curricula focused on telling a more inclusive story of American history was launched by those who regarded these initiatives as un-American propaganda. Falsely categorized under the heading of Critical Race Theory, the overarching goal of critics was to curtail what they viewed as liberal, progressive indoctrination, or "wokeism." More than seventy-nine bills in twenty-nine states were introduced between January 2021 and January 2022 that sought to prohibit the teaching of "divisive concepts" through discussions of diversity, equity, inclusion, multiculturalism, racism, and gender identity. In many instances, these educational gag orders were accompanied by hotlines created for people to report violators (Friedman and Taber 2022).

Similarly, following the Supreme Court decision in *Dobbs,* which overturned *Roe v. Wade*, an Idaho ban was imposed on faculty and staff that prohibited counseling someone to get an abortion, promoting abortion, or referring someone for the procedure (Flaherty 2022). Moral distress arose for presidents forced to choose between following state laws or defending the academic freedom and principles of diversity, equity, and inclusion foundational to their institutional missions. Nevertheless, a felt sense of responsibility to address the widening racial and gender inequities in

education and health following COVID and *Dobbs* needed to be weighed against their fiduciary responsibilities during a period of existential threat, made worse by legislators who promised to withhold funds from those who violated educational gag orders.

Moreover, in the months that followed the initial campus closures, enrollments declined, student financial needs increased, and sources of revenue from room and board, campus events, and conferences dwindled. There was pressure from state legislators and the public to do more with less and to limit offerings to disciplines seen as leading to immediate employability, as in Alaska where the board of regents voted to cut thirty-nine programs and reduce four others (Mangan 2020). Under the circumstances, college and university presidents were forced to communicate unpopular messages around the allocation of scarce resources outside of their control, detailing reductions in faculty and staff and the elimination of departments and programs.

Lessons Learned

The experience of presidents engaged in crisis communication around COVID-19 reinforces the need for ongoing crisis planning at more in-depth levels. Beyond preemptive decision-making by assessing responses to past crises and analyzing case studies from other campuses, presidents should work with their communities to develop values statements that will guide them in ethical decision-making when the next crisis arises. This includes planning around when, how much, and how often to communicate to various groups. While nearly every college has crisis plans in place to respond to infectious diseases, few if any had planned for the magnitude and duration of COVID's impact. In fact, in a study done between May and October 2020 on crisis communications by thirty-seven campus leaders at thirty institutions, participants unanimously agreed that their plans were inadequate to address the higher uncertainty of COVID and the length of the crisis (Liu, Lim, and Shi, et al. 2021, 462).

Engage in Reality Testing

Having diverse teams of faculty, staff, students, and community members in place to advise on prospective crises can help mitigate accusations of unilateral decision-making in an environment that privileges shared governance and collaborative decision-making. It can also aid in the reality testing necessary for effective messaging. In early 2021, amid continuing racial unrest, 77 percent of college presidents said that race relations on their campuses were excellent or good, but 81 percent thought they were only fair or poor on other campuses. A year later, a mere 19 percent believed race relations were good on campuses nationally. Yet they were convinced that race relations on their own campuses were better, with 63 percent maintaining they were either excellent or good (Lederman 2021). The disconnect between the confidence of presidents regarding race relations on their own campuses and on others indicates why it is important for presidents to shape messages based on continuing input from multiple stakeholders. In assessing campus climate, it might be tempting to base the status of race relations on such straightforward factors as the absence of protests or hate crimes. But without incorporating a deeper look into the perceptions of faculty, students, and staff, who may have radically different perspectives, presidents' assessments risk being too narrow. Keeping in mind the impact of individual identity and positionality in judging campus conditions is important to crafting effective communication and building trust, which is a precursor.

Transparency and Inclusion as Foundations for Trust

Bolstering trust also requires a commitment to transparency in the form of open and honest communication. Presidents have a unique vantage point and access to information others on campus do not possess. In the survey of presidents done by *Inside Higher Ed* more than a year after COVID-19 closed campuses, only 57 percent agreed that faculty members at their institutions understood the challenges confronting their colleges and universities and the need to adapt (Lederman 2021). Bridging this divide can be facilitated by presidents taking advantage of faculty research expertise in areas related to the crisis, such as public health, behavior change, structural racism, and communication. Including that expertise, alongside staff, student, and community member input on crisis communications teams can improve transparency, broaden the perspectives of everyone involved, and help foster the necessary trust by involving respected messengers from various groups.

Having a diverse crisis communication planning team is also valuable for gauging how messages are being heard and interpreted. Knowing that in the absence of information, people tend to make it up, withholding difficult news to prevent panic or alarm can be problematic. But when there is limited information or the circumstances are changing rapidly, presidents must strike a delicate balance between transparent and timely communication and avoiding overassurances, which can ultimately lead to a reduction in trust. Most presidents understand this, yet the very skills that led to their appointments—the capacity to create an ascendant narrative when confronting adversity and to instill confidence in the community—may unintentionally undermine their efforts.

Develop Strong Relations with Community Partners

The COVID-19 crisis also reinforced the importance of developing strong relationships with community partners, whose communication can significantly affect the capacity of campus leaders to garner and retain trust during trying times. There was widespread criticism of the Centers for Disease Control and Prevention over their confused public health messaging around COVID and the failure to effectively communicate shifting guidelines as new scientific evidence was discovered. The politicization of public health messages, in which individuals and organizations intentionally distorted information, further complicated matters. These realities made it much more difficult for presidents to engage in effective communication around critical safety issues, highlighting the need for leaders to acknowledge uncertainty resulting from a lack of information.

This need was underscored by the fallout from conflicting comments made by police authorities in the aftermath of the brutal murders of four University of Idaho students, who lived off-campus in Moscow, Idaho; they were murdered just before Thanksgiving break in 2022. While the police initially reported that the stabbing deaths were "an isolated, targeted attack" and there was "no imminent threat to the public," a few days later the Moscow police chief backtracked, announcing, "We cannot say there is no threat to the community, and as we have stated, please stay vigilant, report any suspicious activity, and be aware of your surroundings at all times" (Rodrigues 2022).

Adding to the confusion, the county prosecutor handling the case said in a news interview that "investigators believe that whoever is responsible was specifically looking at this particular residence." However, at a press conference the very next day, the police chief reported that there was a miscommunication with the prosecutor and that a motive was

still being sought. In the meantime, the parents of the murdered students went public with their anguish over poor direct communication to them, and skyrocketing anxiety among students and community members fueled skepticism and suspicion that everyone communicating about the issue knew more than they were letting on (Rodrigues 2022).

In response to student and parental fears, the campus instituted safety workshops, stalking awareness seminars, self-defense classes, enhanced counseling, ride shares, and distributed Birdie alarm systems. Still, the erosion of public trust that ensued foregrounds how crucial it is for campus leaders to build relationships with external groups, including the press, and coordinate messaging to the extent possible when crises arise. This strategic relationship building should be immediate and ongoing.

Anchor Institutions and Empowered Communication

Oftentimes the kind of engagement by campus leaders that is necessary for establishing trust follows from an explicit commitment on the part of colleges and universities to serving as anchor institutions, demonstrating that their success is inextricably linked to the psychological, social, health, economic, and educational well-being of those in the communities in which they are located and seek to serve. Visibility in the community is a prerequisite for establishing trust and credibility, particularly in circumstances when there is a dearth of information and deliberate disinformation campaigns are underway.

As with all constituencies, there should be a process in place for acknowledging and responding to concerns, using multiple vectors of communication, from town halls, emails, surveys, and newsletters to videos, livestreams, podcasts, and social media monitoring. Identifying the appropriate methods of communication and crafting messages tailored to specific audiences is essential for addressing the distinctive needs of diverse members of the community and fostering empowerment. Such communication emphasizes compassion and affirmation that the perspectives and experiences of others are understood and valued. It also focuses on empowering individuals to take personal responsibility by contributing to the conversation. For this reason, maintaining mechanisms for bilateral communication and providing feedback in response to specific concerns are basic to crisis communication plans.

This approach to crisis communication runs counter to previous models that called for concise, unidirectional, and prescribed messages that reified hierarchies by not accounting for the lived experience of diverse audiences. Yet recognizing the distinctive perspectives of different identity groups within stakeholders is particularly salient at a moment when persuasion relies more on creating a convincing story than on rational argument or facts. The result has been a paradigm shift away from a focus on logic and reason in messaging about crises in favor of values-based and emotionally driven narratives. The narrative paradigm, first proposed by Walter Fischer, doesn't discount the value of truth and reason but posits that these alone are insufficient to persuade people (Caldiero 2007).

In the absence of narratives with which people can identify, the emotional bond necessary for the message's acceptance is lacking. However, even when an emotional bond exists, audiences look for coherence and reliability that conform to their lived experience. The story must ring true. Therefore, a narrative approach to crisis communication must be accompanied by an exercise in sympathetic imagination to fully appreciate the range of experiences to which a non-monolithic audience can relate.

Joey King, former president of Lyons College in Arkansas, experienced the consequence of the misalignment between narrative and audience receptivity when he described Lyons and his previous campus, located in Appalachia, as bubbles "of inclusion and diversity surrounded by a sea of angry, disenfranchised populations and a large white-supremacist population." The broader context for King's comments didn't matter to those in the community who considered the kinship that existed between town and gown now severed by what they viewed as a lack of fidelity. King was eventually forced to resign under pressure exerted on the board by the local mayor, judges, and CEOs belonging to the Chamber of Commerce (Kafka 2021).

King's troubles recall the valuable lesson conveyed by Abraham Lincoln that "public sentiment is everything. With public sentiment, nothing can fail; without it, nothing can succeed" (Angle 1991, 128). Thus, one of the primary tasks for college presidents is to discern public sentiment as a means of determining what is possible in times of crisis and when to weigh in.

Deciding When to Weigh In

One of the most vexing challenges regarding crisis communication is determining when to make a public comment. A crisis the magnitude of a global pandemic that affects every aspect of college operations clearly warrants frequent and direct communication from the president. But what about the myriad other crisis situations both on and off campus presidents are called upon to address? Presidents should surely communicate around matters of local, national, or world import; in cases where events significantly affect students, faculty, and staff; and when the core mission of the institution is under threat.

Yet presidents should not feel responsible for authoring every communication. Sometimes, it is more appropriate for the Academic Dean or Vice President for Student Affairs to take a lead. Being proactive around identifying who will speak in response to different types of crises and who will manage the feedback loop is important to avoiding missteps. This should be accompanied by an ongoing assessment of which events are important to speak about, the values driving the statements, and the ways in which the college community is prepared to move beyond words in supporting the affected community. Presidents and planning teams must also consider whether the statement will set up expectations to speak out under all similar circumstances, whether those expectations can be met, and whether the statement will be perceived as discrimination against another group. Having a system in place for when the institution issues a statement, as well as a process and timeline, are imperative. These go hand in hand with identifying how leadership will respond to pushback against a statement.

Messaging When Institutional Values Collide

The firestorm over a series of statements issued by Hamline University around a campus controversy illustrates why this planning is so essential. An adjunct faculty member at the institution, who showed her art history class a fourteenth-century painting of the prophet Muhammad, was the subject of complaints to the dean by a Muslim student. Despite warnings on the syllabus, giving students the option to leave before the piece was displayed, an announcement in class, and an explanation of the pedagogical reasoning behind including the work in the course materials,

the student, who was president of the Muslim Student Association, deemed the act Islamophobic. This perception was supported in a message to the community by the associate vice president for diversity, who characterized the incident as "undeniably inconsiderate, disrespectful, and Islamophobic" and announced an open forum on Islamophobia (Patel 2023). When the professor's contract was not renewed for the spring semester, a national debate erupted over the limits of academic freedom in the context of institutional commitments to diversity, equity, and inclusion.

Three days after an article appeared in the *New York Times*, outlining outrage by academics and some Muslim groups over reports that the professor had been "fired," the president issued a response defending their position, pointing to inaccuracies in the reporting, and calling for civility in the face of daily death threats to the administrative team and student involved. Within another two days, the Hamline University Board of Trustees announced that it was "actively involved in reviewing the University's policies and responses to recent student concerns and subsequent faculty concerns about academic freedom" (Hamline University 2023). In the process, it reaffirmed that "upholding academic freedom and fostering an inclusive, respectful learning environment for our students are both required to fulfill our mission" (Hamline University 2023). Before a week was up, the professor filed a lawsuit against the university, alleging defamation and religious discrimination, prompting the president and board to issue a joint statement admitting that the use of the term "Islamophobic" was flawed (Hamline University 2023). A vote of no confidence in the president, who has since resigned, soon followed.

"We Will Learn from This and Do Better"

The Hamline case magnifies the necessity of anticipating and developing plans for responding to controversial messages. It is also a reminder of the need to understand what to include and avoid in an institutional apology. The historical context was important in this case. The campus is a few miles away from where motorist Philando Castile was killed by police in a routine traffic stop, in a community reeling from the murder of George Floyd, and one which serves a large population of Somalian refugees and an expanding Muslim population. This backdrop offers crucial context that was often excluded from the messaging and responses to it.

However, communications experts point out that it is critical in every case to avoid being defensive, using language more inflammatory than the original message, missing the point, adding insult to injury, and picking a fight. When a lawsuit is pending, admitting mistakes can be a challenge, but messages should convey what has been learned and outline action steps for doing better (Parrot 2023).

The Critical Role of Resilience

As we have learned from the crisis communications experiences of college and university presidents over the past few years, regardless of the message, effective communication requires having a credible voice to deliver a truthful and authentic message that both inspires confidence and furthers meaning making. This, in turn, demands resilience, or the ability to be adaptable and flexible in the face of adversity. Accepting uncertainty is crucial to leading through crises and calls for the fostering of resilience through the development of self-awareness around one's own values and

motivations. But this work doesn't need to be done in isolation. Presidents should reach out to other campus leaders who experience similarly high levels of stress around crisis communications.

Day-to-day responsibilities can keep one from connecting with others and rehearsing open mind-sets, so time must be set aside. Equally important is keeping the institutional mission and values at the fore and weaving these into crisis communication planning processes and implementation (Liu, Lim, and Shi, et.al, 2021). When this is done, the immediate issues arising from a crisis can be addressed without abandoning long-term strategic thinking and planning necessary to sustain all institutions during these complex times.

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Presidential Leadership and Crises

Mr. Peter McPherson and Dr. Rebecca J. Menghini

One needs only look at the headlines in the *Chronicle of Higher Education* or any mainstream media outlet, really, to read of a new crisis somewhere in higher education. For leading institutions, the question probably is not if, but when, a crisis of some kind will strike. And although that fact can be daunting, we posit that with some intentional action and preparation, leaders can be ready in important ways for when that day comes.

It is hard to say whether there are more crises today or whether social media and twenty-four-hour news cycles now bring them all to the forefront for everyone to see. What is true, though, is that many universities have grown bigger and more complex due to flourishing research and health care enterprises, sophisticated IT structures and security programs, and robust sports programs. Added size and complexity have increased the risk of crises.

University crises can be defined in any number of ways and come in many forms. Some are externally driven, and others come from within. They often threaten the well-being of people, the functioning of facilities and services, and the reputation of the university.

It is not news that crises are hard. But it may be new to some that leaders can do much to prepare for crises. Crises must not be seen as one-offs for which no preparation is possible.

In short, we believe that presidents before a crisis can position themselves to lead in a crisis with at least some strength. That positioning includes growing relationships and trust, building a strong core leadership team, assessing risks, and planning as practical for crises when they do come.

A president should embrace and work to advance the core values of the institution. That is a foundational strength in leading in a crisis. That and many of the other actions a president should do to otherwise have a successful presidency are also the very same actions presidents should do to prepare for a crisis. We expand on these actions below.

Building Relationships and Establishing Trust

Leaders should make a conscious effort to develop relationships and trust with stakeholders and the public, including when there are differences of opinion. Research shows the actions of presidents in a crisis may matter less than their perceived trustworthiness (Menghini 2014). Building trust can take many forms, but it almost always involves broad engagement and time spent with stakeholders, sharing as much information as is practical and legal, listening and being open to different views, and having some visibility at all levels of the university and to the public. Stakeholder

relationships can provide alternative views, technical advice, functional capacity, and support, in addition to creating community and shared experience. Other university leaders share roles with stakeholders, but presidents must be involved and visible and not overly delegate those relationships.

The president's relationship with the board is critical and even more so in a crisis when individual board members may feel a need to comment publicly or to "do something." A strong relationship can be challenging to build and maintain, and we regularly see examples where the relationship does not work. In principle, the president should be the CEO who runs the university and appropriately informs, consults, and seeks or receives direction on major issues from the board. In other words, the board in principle should only be deeply involved in the most major decisions and should provide general oversight. These divisions of responsibility can be challenging for everyone. "Major" is subject to definition, and some board members slip into thinking their job is managing. The best board members have often reported to a board themselves and have experienced the differences between management and board oversight. Such board members can often help with other board members.

There are lots of nuances to all this. It helps to have expectations as to when the president will bring something to the chair of the board instead of the full board. A president needs to understand individual board members' special interests and constituencies. The board's role in grievances and litigation is often a matter that needs to be considered.

Overall, the goal is to minimize surprises and avoid problems with authority or processes in a way that allows all parties to do their jobs effectively. In some cases, these understandings between the board and president are best accomplished by employing an outside consultant to lead direct and honest conversations. In any case, successful presidents feel strongly that a president needs to work out a board relationship of mutual expectations and trust, even though it may take time and certainly ongoing attention.

An instructive case of board relationships is the relationship Brit Kirwan, then chancellor of the University of Maryland System, had with his board. Brit developed a close working relationship with the chair of the board and scheduled check-in calls with all board members between each board meeting. He worked hard to have "no surprises." Once a year, the board had a retreat in which the roles of the board and chancellor were reviewed. This relationship with the board was important many times. For example, Brit had the needed board support on a very contentious matter. He wanted to continue certain scholarships for Black students, and in related litigation decided to lay out the continuing impact of historical discrimination. Some people feared that this would discourage Black applications especially if the case was lost. In the end, the university did lose in court, but the university's public acknowledgment of the problems and commitment to change brought an increase in Black applications.

Faculty, Staff, and Students

The president's relationship with the faculty is especially important, and, of course, some differences of view should be expected. Presidents must spend time engaging and understanding the concerns of their faculty and find meaningful ways to demonstrate support. Presidents need to develop relationships with some faculty opinion leaders with whom they can have candid conversations.

When Becci Menghini was at the University of Wisconsin–Madison, several chancellors for whom she worked had such faculty contacts—some formal, such as assemblies of national academies members or faculty advisory committees, and others far more informal that develop over time. The relationships paid off many times.

It is also important to engage with staff because they are key to keeping the university running and can often be important sources of information and support. When Peter McPherson was president at Michigan State, he, the provost, and the vice president for administration and finance had dinner with the campus union presidents every quarter. It was agreed that labor contract issues were not to be discussed, so the dinners were about the campus and university challenges. Those conversations made a real difference, for example, when the unions and the university worked together to contain exploding health care costs.

Although students often don't understand what a university president does, or even who they are, students are, of course, at the core of why universities exist. Presidents are well served to regularly connect with student leaders and meet with and be visible to student groups and the larger student body. It usually pays off to meet with the student newspaper editorial board and to ensure that the president and staff are available to their reporters. Most presidents find that student contact is invigorating— "I am reminded why I am here"—and almost always presidents learn from these engagements. No doubt, some credibility with students is a big plus in a crisis.

External Stakeholders

Beyond the campus, there are many stakeholders with whom presidents and their teams should build relationships and trust. Connecting with these groups often requires more deliberate scheduling and agenda setting.

Presidents should know their local, state, and federal elected officials and be in touch with them about institutional priorities and the ways the university can serve those officials' constituents. These relationships can often be quite warm, despite some disagreements. Finding ways to navigate across political lines with these elected leaders, not just when the university needs help, is important and will pay dividends when a crisis strikes.

Leaders are wise to build relationships with alumni, local communities, business, labor, local law enforcement, and others. This paid off, for example, when Peter McPherson was at Michigan State. His agriculture dean, the college, and he had a strong relationship with Michigan agriculture groups. The Michigan governor proposed a 50 percent cut in state funding for the university's agriculture research and Extension. The Farm Bureau and others aggressively lobbied with the university to prevent any cuts and for a time made these budget items the new "hot rails" that could not be touched in the legislature.

Also, community relationships can make or break a presidency. The impact of a campus extends well beyond its physical boundaries. The importance of work with the community is exemplified by the efforts of Roy Wilson, president of Wayne State. For years, Roy worked with community groups including the Black and Hispanic communities, business, and labor. Wayne State's publicly elected board became evenly divided on Roy's presidency for reasons that to many seemed unreasonable. The community's strong support of Roy was key to his survival as president and to his very effective presidency.

The media is a central way to communicate and gain credibility with stakeholders and the public. We sometimes forget that the media is one of the best ways to communicate to the campus, better even, sometimes, than the president's office itself. Establishing relationships with local, regional, and national media, including the informal influencers on social media, is helpful to broadly push out a singular university message—most certainly in quiet times and even more so in turbulent ones. Leaders should also make time to have a personal presence on social media, even if that work is staff supported.

In summary, external stakeholders strengthen a university in good times; in crisis, their value can be enormous and provide technical expertise, functional capacity, and different perspectives.

The Core Leadership Team

One of the most important things a president can do to be successful is to assemble a strong leadership team, most of whom will have line leadership responsibilities, for example, the provost, heads of student affairs, and administration. Leadership teams extend the reach of the president, particularly when they bring together different organizational perspectives, backgrounds, and skill sets. Presidents should build and lead their senior teams to become working and problem-solving teams. The president needs to build a team culture that welcomes healthy debate and honest disagreements with the president. This will lead to better outcomes in good times and bad.

An example of the contributions of a strong team was Peter McPherson's team at Michigan State University when two students died from very contagious meningitis. The US Centers for Disease Control (CDC) advised that vaccination campaigns should not be done until three people had died. Peter said he did "not have any volunteers." He decided, after intense discussion and careful planning with his core team (including the university physician), to provide vaccinations to the entire campus. The campus pulled together to deliver the vaccinations, and the vaccinations moved along so quickly that the university almost ran out of vaccines before the scheduled resupply. US Senator Carl Levin of Michigan, with whom Peter had worked, was able to arrange for the US Department of Defense to fly in additional vaccinations a few hours after Peter called the senator. The morale on campus moved quickly from fear to relief. Peter knows the core team was fundamental to the success of the vaccination effort.

Making Plans for the Unexpected

A president and the university should have a systematic and regular way to identify possible risks and make plans accordingly. Note that the board will probably have an audit committee that often includes risk assessment in its responsibilities. In any case, university administration needs to be deeply involved, both with those efforts and their own. There may be some more likely risks to be considered, such as cyber ransom, "social media storms," as well as Title IX and DEI issues, but the landscape is ever-changing.

Identifying risks should produce hypothetical fact patterns that can be the basis of emergency operation and communication plans. Those in turn can be the basis for "desktop exercises" and often artificial simulations. The exercises and simulations inevitably identify needed refinements in the plans. The president needs to be involved in all of this to understand and for all others to take it seriously. Several successful presidents we spoke with recommended these

desktop and simulation exercises. For example, Howard Gillman, chancellor at the University of California, Irvine, reports that he has a number of these each year.

Some examples of what emergency operation plans might include putting in place power and technology backups. Also, the plan should be clear in writing who has what responsibility without approval from others and who are the substitute decision-makers if needed in, for example, shootings or natural disasters.

Significant research also supports the establishment of crises communication plans. (Jacobsen 2010; Lerbinger 1997). Such plans must build on what the university should already be doing. A crisis communication plan is not something all new and separate.

The changing media landscape and the growth of social media have altered how this particular task is best accomplished. Note that print and television no longer cover local and state news as they once did. Plans might consider who should be in the room to help make decisions about communication and about what to say (or not), what tools and outlets the university will use to communicate in a crisis, and how institutional messaging will be placed in today's very fluid and crowded media landscape. These plans should consider who might serve as institutional spokespeople, the role the president should play in communication (probably a major one), and the means the campus will use to distribute shared talking points to others.

Let's note here that a president should regularly deal directly with their head of public affairs. That person usually has a somewhat different perspective from that of others in the senior team. Peter McPherson has always had the public affairs person report directly to him in the large organizations he has run, and developed a close confidential relationship with the person.

Of course, presidents and their universities will want to learn from their own and others' crisis experiences.

An example of learning is how campuses are dealing with "active shooters." Campuses have had too many "active shooters" over the years, and campuses have learned from the experience of others. Recently a shooter at Michigan State murdered several students. The police were on location within minutes; the campus was locked down; and several local police departments responded immediately as part of an overall plan. The deaths were terrible, but the response was very strong. In the last few years, the campus had made plans and practiced for this situation and several other types of crises.

What to Do When a Crisis Does Come

In talking with successful presidents, we are told again and again that a president needs to put people first, take responsibility including for mistakes that may have been made, act consistent with the values of the institution, and make timely decisions. We would add that presidents are often the principal definers of the problems and possible solutions in a crisis, and their actions, behaviors, and words in crisis can signal to others that the situation is being managed.

The first steps in a crisis are likely to be for the president to quickly assess the situation with the core leadership team and probably others pertinent to the situation, to communicate with the board, and to issue an initial public statement.

The president will want to communicate with the board to tell them that the president recognizes the seriousness of the problem, what is known and what is not known, that work is underway to find out all the facts, that a brief public statement will be issued, and that the president will be back to the board very soon. Generally, the president will want to ask the board to direct press inquiries to the president so that the university can speak with one voice. Board members will no doubt receive calls, and being on the same page with the campus is invaluable.

As indicated, the leadership team will be immediately involved. That team will probably be expanded or focused for the emergency, for example, security personnel, health officials, and so on. The team will need to include those the president trusts with voices who will ask the hard questions and challenge the group to do its best work. This team may help leadership avoid oversimplifying the situation or making decisions that require more facts or expertise. The team will help the president assess the situation, help drive the response, make some calls to key stakeholders, and consider the communications plans. Ultimately, the team will help shape the solution to the problem(s) causing the crisis.

As indicated above, the university will almost always need to issue an early public statement and then keep communicating. For instance, the University of California, Santa Cruz, had a wildfire that came right up to the campus before the wind changed course, but the smoke was there for days. Chancellor Cynthia Larive says that in crises like that one, you cannot communicate enough to the campus and beyond. She also noted the importance of such communications being empathetic and framed in human, as opposed to bureaucratic, terms.

One of the most important parts of navigating crises is ensuring that all stakeholders, whether they are internal or external, hear a singular message from the university, and that the message rises to the top in the midst of a chaotic news cycle. It is important in the heat of the moment for leaders not to damage the trust they have earned, but instead, be visible and to be honest about what they know and don't know, show awareness of the threats to the university's people and its reputation, and address the facts as they can, even if the facts are damaging to the leader or the university. Sometimes addressing the fact is hard to do, not necessarily because of reluctance on the president's part, but because real information is hard to secure. We're reminded that US Secretary of State George Shultz, for whom Peter McPherson once worked, often said to his team, "Never trust the first intelligence. It is usually incomplete or wrong."

But how to establish the facts? Be sure you have the pertinent expertise involved, and that there is a demanding process in finding the facts and making judgments. Sometimes the facts can only be established—especially to the satisfaction of all parties—by a formal investigation. The question may be whether this should be an inside or outside party that does the investigation. It will probably be faster and cheaper if inside, but an insider investigation may not have the same credibility. If there is an investigation, many will want the written report released. Sometimes, the university's lawyers will argue against the release of a written report, but there can be a high credibility cost to not releasing the written report.

When Becci Menghini was at UW–Madison, a report went public of a senior athletic official allegedly engaging in sexual misconduct with a student. The story rapidly grew legs and was being reported nationally. While the university

had procedures for investigating gender-based violence, the public nature of the case required fast action. Chancellor David Ward sought the outside expertise of a former federal judge, who was asked to investigate the matter in accordance with university procedures. The sourcing of an external investigator, and a public statement about that action, reassured both those inside the university and external stakeholders that feared that an athletics case might be pushed under the rug.

Ongoing communications should show awareness of the harm done and the threats to the university and people, be transparent, carefully thought through, and be consistent. A major question may be when the president steps in saying that the president or the university made mistakes. A general rule is the sooner the better, recognizing that the lawyers will frequently advise limiting such statements.

In this essay, we have placed a great deal of importance on building relationships of trust before a crisis occurs. That is certainly right, but sometimes those relationships are weak or do not exist when a crisis occurs. Yet generally, there is no substitute for the president to aggressively reach out with full transparency for advice and help.

For example, shortly after Mark Keenum, president of Mississippi State, took office, the governor made a substantial cut in the university's annual budget. It was midyear, so the full reduction had to be painfully found from the budget for the remaining months of the year. Mark asked the chair of the faculty senate to chair a committee to make recommendations. He provided the full budget detail to the committee and asked them to make recommendations. A lot of hard decisions were recommended and then made with substantial support on the campus.

Of course, a crisis requires a plan to deal with the problem now and going forward. That will take help from the leadership team, probably experts, and from the campus.

Let's comment on when it has not worked for a president. Certainly, some of these situations were beyond the control of the presidents, for example, a dysfunctional and overly involved board. Other factors have contributed such as when the president did not act rapidly enough or with enough transparency, had too many fractured relationships with stakeholders, did not have leadership teams that could and would speak up to the president, and so on. Often more than one factor is involved.

But there are many success stories for which presidents can take heart. Most of the success stories involve some or all the points we have made here, such as relationships with stakeholders, strong leadership teams, planning, communications, and leadership.

For example, Hurricane Katrina virtually destroyed the physical plan of Tulane University, and the campus was closed for some time. President Scott Cowen made tough decisions on staff and structure with a good team and a supportive board. He and his team dealt with huge problems aggressively and with creativity. He feels that there are at least some "silver linings" as some of the changes put in place were overdue at the university and the university worked with the community as never before. All Tulane students are now required to have some engagement with the community.

Sally Mason was president of University of Iowa when a flood brought huge disruption and nearly a billion dollars' worth of damage. Sally was fairly new as president, but her leadership, communication, and a good team pulled the university through.

Covid has been a crisis for most higher education leaders. In fact, in years ahead, we suspect that presidents will be in two groups: those who went through Covid as a president and those who did not. Generally, presidents did well with various approaches to Covid in part because they led with concern for students, faculty, and staff. They generally communicated, supported, and engaged with safety problems and with the switch to online courses. (Of course, we still deal with the learning gap problems and other impacts of the pandemic.) Many universities went above and beyond. A good example is the University of Illinois, Urbana-Champaign, which developed an inexpensive and rapid Covid test for its campus and then, with huge help from the University of Illinois System, made the test available throughout Illinois and beyond. As Chancellor Robert Jones says, "We are a land-grant university and that is what we do."

Crises can have an ongoing effect with new leadership playing a critical role. Penn State University had a crisis involving sexual misconduct and the football program in the early 2000s. There was continuous local and national media attention, and the president left his position. Rod Ericson, a long-time "Penn Stater" became president, and his value-based and steady leadership was widely trusted by stakeholders. His campus is forever grateful.

To conclude, crises are likely to come. They will be hard and will challenge presidents and their teams. We believe our suggestions for planning for and managing crises at the time provide a reasonable framework for dealing with crises and can help minimize the damage to these important institutions.

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Chapter 12. Passing the Baton

Dr. Ed Ray

Chapter Overview

Virtually every day, one can read about a president or chancellor who just remembered at age sixty-three that he or she wants to spend more time with the family and resigns unexpectedly. What is the anatomy of failed leadership in higher education? Abrupt departures are not always the making of leaders, but there are a number of traps that every leader should be aware of and avoid. On a more positive note, what are the circumstances under which an established, and even strongly supported, leader should step down? How can he or she prepare the way for the success of the next leader?

- Setting the table for your successor and exiting without a lot of drama.

While college and university presidents rarely remain in place for more than six years, changing the culture, direction, impact, and quality of an institution can require much more time. What can leaders do to set the stage for continued progress after they have left? How do you know that it is time to go and how can you leave gracefully?

- The anatomy of failed higher education leadership.

There are numerous reasons why presidents are not successful in their tenure as academic leaders and exit less gracefully than they hoped would be the case. Yet there are a number of mistakes that are common to many failed presidencies, and it would be helpful to know where the dangers emanate from. What are common causes of failed presidencies?

Stepping Away – The Things They Never Told You

Dr. Harris Pastides

As campus and system president of a large research university, I faced the unexpected challenges and pleasures of retiring twice, the second time after being called back to serve in an interim capacity for one year. A university leader's decision to step away is usually met with many concerns that are difficult to share with persons outside of family and a very close circle of friends. For example, is it time? How much notice should I give? What will my emeritus status be like, and how should I negotiate that? Should I remain immersed in university life or, generally, keep away? Will I be happy or regret the decision?

Ultimately, university presidents are not provided with enough support to make these decisions and to understand life beyond the presidency. Boards prefer to sail along and not confront succession issues as carefully or thoughtfully as other types of organizations, especially those in the private sector.

Beyond the typical issues in succession planning, the formal relationship between the departing and incoming leader should be considered. Often, this is left to the professionalism of the two individuals, but there are many instances in which the institution could be better served by being more intentional, and more clear, about expectations and potential boundaries.

Separating from an institution where a campus leader has served for many years is complicated for all involved but does not have to be awkward or painful. Thoughtful planning by the individual and the institution, the possibility of using outside mentors, and open communication are keys to a successful transition.

In much of the world, university presidents and, for that matter, professors face a mandatory retirement age; most of these higher education professionals, of course, work in the public sector. France is currently locked in a national debate about deferring retirement benefits of public employees to sixty-four from sixty-two. Oxford University has been tagged as "ageist" for setting a retirement age at all, with the new policy being sixty-eight. China's mandatory retirement age is even younger, at sixty. One can take issue with where a mandatory retirement age is set, especially given the immense talent residing in the academy among persons well above these ages, but it certainly removes one of the deep sources of personal agony for maturing university presidents, deciding when to pass the professional baton.

It's likely that I was invited to author this essay because I have twice as much experience in one aspect of the process than most other university presidents; I retired twice as president of the University of South Carolina. In the summer of 2019, I departed the presidency based on what I thought had been a reasonably well-considered decision. My spouse and I were beginning to feel the wear and tear of the day to night schedule, including hosting nearly two hundred events annually at the President's House, most of them in the evening. The nature of our work was taxing, but, frankly, it was the schedule that we viewed as most burdensome. There was very little time built into our schedule for "recovery." Even Sundays were regularly taken up with university obligations. We had missed more family birthdays and had declined more wedding invitations from dear friends whose children were being married than we could remember. We also shared the concern that if we couldn't keep up with the schedule we had managed for ten years, if we effectively "slowed down," would our community view us as less effective in our roles? Lest this seem like an unhappy or, worse, an ungrateful attitude, let me dispel that. We felt both happy and lucky to be in our shoes and would never trade another career opportunity for the ones we had.

Being an epidemiologist, however, one other factor weighed on me. My parents had both passed away in their late seventies and although we all expect to outlive our parents, the actuarial tables coupled with my genetic profile were like a dashboard that reminded me that if I hoped for a decade of healthy retirement, I had better get started in my mid-sixties. Our chosen retirement date would have me at sixty-five.

So we planned for two extended sabbaticals (the term being our choice, not official), to hone our interests in diverse matters and to embark on a life of productivity and travel. Personally, I also wanted to devote more time to being a more committed and available husband, father, and grandfather. Generally, we looked forward to finding a higher level of happiness. It seemed like a simple and worthy goal. More about that later.

In May 2021 I was invited back to serve as interim president, following the relatively short tenure of my successor, roughly twenty-two months since I had passed the baton. Patricia and I had very little time to make a decision and, although it would seem to have been a tortuous one, it really wasn't that hard. Travel plans could be rescheduled, after all. In truth, Patricia, who has always lived happily "in the moment," was enjoying her new endeavors, pursuing interests she had little time for as First Lady. She feared the disruption of the many activities and lifestyle changes we had made, but quickly saw that our university needed us and agreed to answer the call. We served the university as Interim President and First Lady for fifteen months, stepping down when our newly elected president commenced his term in the summer of 2022.

Hopefully, anyone reading this will not be called upon to return to the presidency they once had and have to retire again! I will say, however, that I was more sensitive to my second successor's arrival than I was to the first. Of course, I had more time to prepare handing over the mantle/reins of leadership but being more aware of the pitfalls, I spent more time with the executive leadership team in helping them to be best prepared for the transition period. In particular, I worked with my chief of staff to be well prepared for meetings that would be especially important, events early in the year not to be missed, and a variety of other "green, yellow, and red lights." I hope these were all helpful to the early days of the next presidency, and, at worst, I don't think they hurt at all. Additionally, I had more time to work with my second successor during a more lengthy transition period.

In this essay, I review aspects of the planning process for stepping away, including the many complex personal factors tied to making that important decision, and offer some advice about strategies and communication that can serve both outgoing and incoming presidents, and the university, favorably.

Determining When to Depart

I think it's fair to say that most university presidents love their jobs. That's a fairly simplistic assessment but, when all is taken into account, there are few of us who would have traded the impact of serving young people, scholars, alumni, and the broader community for most any other job. This is not to ignore the many challenges, headaches, heartache, long days and long nights, and, of course, the politics of the job. So it makes sense that determining when to step away would require a level of complex decision-making. How does one decide to step away from a career they love most dearly?

Two particular complexities are worth noting. The first is external. Many professionals, including public and private chief executives in the United States, are delaying their retirement in far greater number than before. For decades, financial security was usually the main determining factor for one's retirement age, but more recently this is not reported as the main factor. Retirement ages are slipping forward in all professional walks of life, driven by social and cultural considerations, as well as financial reasons. Another factor is that the steps involved in planning for this major life change are given scant support by most organizations, including universities.

University presidents usually find it hard to imagine themselves even partially idle. The factors influencing a decision to delay retirement include wanting to complete projects or initiatives that have been started, being in the middle of a fundraising campaign, pledging leadership to the universities, boards of trustees, or overseers, and a myriad of other reasons. This is why planning to make this decision should begin several years before any action is taken.

Start with Family and Friends

In the earliest stages, planning a presidential retirement should remain a confidential endeavor. Mentioning it to even one colleague inside the institution can result in a spreading belief that the president is officially in her or his final stage. A "secret" like this can often be greatly tempting to share, despite promises made. Information leakage is not a healthy leadership dynamic and will usually be counterproductive to keeping the leadership team fresh and fully committed to the current strategic plan.

However, one absolutely needs trusted people with whom to speak openly about their considerations and desires. "Walks in the woods" are most desirable when they are candid, and they are particularly valuable if a sitting president can do this with a friend or colleague who has already been through the process, whether or not they are in higher education. I think it's always best to have a rolling three-year plan, and, at some point, the plan should include two pre-retirement years and the year in which the disclosure and announcement is to be made. Sometimes the decision is precipitated or advanced because of situational factors related to the job itself, especially relations with the board of trustees. This presents a different dynamic in which passing the baton is thrust on the incumbent either directly or more subtly. This essay is not highly applicable to those situations. But in most instances, the decision must start with

a personal planning process that involves many considerations that are external to the university itself. Considerations could include financial aspects of retirement, long-standing desires to travel, interest in serving on not-for-profit or for-profit boards, accepting consulting or advisory roles that frequently come the way of a president who is recently retired and, of course, one's health status, as well as that of a spouse, partner, or other family member.

It's Lonely at the Top

It's often said that it's lonely at the top, and there are few times when this is more true than when contemplating stepping away from the university presidency. As stated earlier, it's usually not possible to guarantee the confidentiality of conversations with colleagues inside the university, no matter how trusted the individual with whom the president might be discussing the decision. Attempting to speak discreetly with a board member, say the board chair, can be an even riskier proposition. Board members may well feel it to be their responsibility to share what they know about your plans with other members of the board, believing that this would be in the institution's interest.

In my case, conversations about stepping away were kept between myself and my spouse and, on relatively rare occasions, like holidays or birthdays, shared with children and other family members but not usually with much specificity or detail. We decided to build our retirement home on the South Carolina coast and to oversee the construction (and pay down the mortgage) in our final years in the presidency. The home would be an occasional weekend place until we were fully ready. Once done, however, the home became a beautiful yet painful reminder about how marvelous it would be to have our own place, a place to escape to especially when our other home is in the heart of the campus. Locking our new house up on a rare Sunday afternoon before making the trek back to campus became increasingly frustrating and started to influence our decision. With each passing visit to our future home the decision became firmer and at some moment felt, more clearly, like the right thing to do.

One complicating factor was that I was in a contractual period of retention with my board, and I now wanted to accelerate the endpoint of my contract. This was viewed with some confusion as I had been a full party to the earlier negotiations that resulted in a date certain for my departure that was still several more years away. Ultimately, I spoke with my board leaders roughly nine months before my intended departure date. I thought that this was the appropriate length of time for searching and identifying my successor and creating an orderly transition for our many constituencies. I was advised to inform my trustees only one day before making my public announcement during a state of the university address. I planned to notify my executive leadership team, and several other very close colleagues and state political leaders on the morning of the public address.

Fortunately, the news held until the following day and the announcement was met with the expected amount of surprise, concern, or glee, as one might imagine. For my wife and I, that day was very emotional . . . and I wasn't expecting that.

In the days that followed, things seemed to progress normally, at least at the surface. Being a lame duck is not something that any executive, including a college president, looks forward to or even thinks could ever happen to them; but it can. Lieutenants and other staff members might begin responding differently to directives, deadlines, and so on, not because of any insubordination, but because they might wonder whether the implementation of new concepts or strategies will survive the departure of the current president. This would be a normal concern of leadership

teams in most organizations, and special effort needs to be made to continue with the execution of strategic plans and initiatives in order to not further interrupt the expected impact from a presidential transition.

In hindsight, I don't feel that I had the kind or level of support that would have fostered a more careful and judicious decision-making strategy relative to passing the baton. After announcing their intention to depart, a president might enlist the help of their chief of staff or chief operating officer to help acknowledge that the transition will be difficult at times. A more open awareness and conversation about what's to come between the announcement and the departure might be helpful to all involved.

The role of feelings and emotions, including occasional fatigue and a growing sense of "resentment" over missing personal and family gatherings and other important traditions, tends to grow with time and can even grow to be outsized. Once I made it clear that my intention was to pass the baton and was talking to some trustees about my reasoning, including wanting more time for family, travel, and so on, they said, "Why didn't you say so? We could have arranged for a couple of mini sabbaticals or for time away." That hadn't occurred to me and made me feel like that conversation could have been a two-way street. . . . Started by me, or by them, after over a decade of successful leadership.

The topic of succession planning did come up from time to time, but always in executive session and not with me present in the room or participating in the dialogue. The way that succession planning happens in public and private universities is enough to fill another essay but, suffice it to say, it does not happen with as much intentionality and careful planning as it does in the private sector. Open record laws and the requirement for public meetings account for some of the basis, but, generally, there is no methodical commitment to succession planning anywhere in the academic enterprise.

Buyer's Remorse?

It's also wise to expect that the president and partner, when there is one, will experience fluctuating emotions, including occasional sadness and even remorse. I found these moments during my last year to generally surround events on the academic calendar that you realize, and others publicly point out to you, are "your last one ever," whether that is a reception for incoming students, an advisory council meeting, or a football game. What had been anticipated as a celebration at these events can be tainted with a darker mood, given the knowledge that you will not be presiding at these ever again, regardless of the celebratory trappings present. I think it's hard to prevent these feelings, especially if you were particularly content and happy in the presidency. I can't say that this analogy would work for anyone else, but I liken it, at least a little bit, to walking my children down the wedding aisle. Obviously, it is a very happy event but it is colored by the knowledge that things will never be exactly the same again.

After the announcement, the decision is final, and there can be no going back. The institution is poised to move on, and so must you. I wouldn't characterize my own feelings during the nine-month period between the announcement and my departure as remorse or regret. I knew what I wanted to do, and nobody twisted my arm. However, it was simply not possible to completely grasp the roller coaster of feelings as the farewell parties and other activities related to my impending future arrived.

What is it Like on the Day After?

A wonderful book by Jack Kornfield called *After the Ecstasy, the Laundry*, implies that life is full of ups and downs, and, in his examples, many occur in close proximity. So it is with passing the baton. There were so many parties, celebrations, dinners, and tributes that came our way during our last nine months in office. Patricia and I remain incredibly grateful and humbled by all of the attention and affection received. We even had a larger than life portrait painted which now hangs in a magnificent 60,000-square-foot alumni center that bears our name. The announcement of the Pastides Alumni Center was made at our very last graduation dinner, and it took us both by great surprise and joy. Nevertheless, one cannot be fully prepared for that first Monday morning, following the last day in the president's office.

There are plenty of expectations relative to remaining busy, serving on a board or two, writing a book offering reflections or advice, and, of course, all the stereotypic comments about fishing, photography, and travel. None of it is an apt prediction of how you will feel in the weeks and months ahead. For one thing, often the baton is passed when you are at the top of your game. Through your amassed experience and the bumps and bruises of lessons learned, you are probably at your best with respect to navigating the challenges of the university just as you decide to step away. The only way to deal with that is to seek one or more opportunities that will keep you sharp and influential.

I don't recommend engagement on too many committees, boards, or community or civic engagements. I think it's much better to keep or develop one or two leadership roles, if you can. For example, I think it is more rewarding to serve as the chair of a committee or board than it is to serve on three committees. The fact that an institution depends on your judgment and engagement can be of great satisfaction to your life post-retirement. I even developed a closer respect and affinity to some organizations that, before retirement, felt more like an obligation.

Also, it's worth considering writing one's memoirs, even if they are not meant to be published or read widely. The recollections and reflections can serve as a valuable, if sentimental, self-recognition about the remarkable professional journey that led to the presidency and recently has led to passing the baton. I keep a room in our new house full of memorabilia from the presidency, and this room is also my office. My wife, who seriously dislikes clutter, claims it all belongs in the university museum, but I think I'll know when the time is right for the pictures, footballs, awards, photos, and plaques to leave the shelves and go into boxes. That hasn't happened yet.

Of course, many former presidents go on to work in related fields of higher education, namely, in search firms or in consulting, usually related to strategic planning or university governance. Each of these can be a very worthwhile activity, but again I would stress the nature of the involvement rather than the number of engagements. The ultimate gratification in one's work comes from knowing that your efforts and advice have been of lasting value to an institution.

Engaging with the New President

It's critically important to the welfare of a university that all constituents are made aware that the new president is in charge and that the former president has gone away. I think this is important reason why, as part of the United States'

presidential inauguration, the former president and family are seen being driven away from the Capitol before the festivities are concluded. People need to know that there is only one president in charge.

Of course, it's quite possible that after passing the baton, a university president returns to teaching, writing, and other academic endeavors that require them to be on campus. The further away from the central administration building that these activities take place, the better. It's wise to participate in university activities that will not appear to infringe on the primacy of the current president, especially large athletic, alumni, and community gatherings when it's indeed possible and predictable that most present would know the former president and not yet the current president. I was honored to be offered by the board, the title of distinguished president emeritus, but I also understood that for all the title's loftiness, President Emeritus is not the second most important person at the university! My responsibilities are, and should be, limited to those that the board or the president would find valuable and almost always are conducted behind the scenes. Some of these realities will vary by the nature of the institution, of course. In my case, I particularly value serving as an informal mentor to junior faculty. I'm able to provide some guidance and encouragement relative to navigating the tenure process, managing the balance between scholarship and teaching, and even some insight on work/life balance.

I've had the opportunity to experience relationships with two successors, one following my original retirement, and one following the year when I returned to the university to serve as interim president. In the first case, my successor was someone known to me through national committee work, but not intimately. In the second, my successor was a friend and colleague, someone I've known for twenty years, and an individual who served as my provost for five years.

The challenges presented by both scenarios are unique, and both deserve attention. In the first instance, there was no shared history. Activities that will lead to developing trust and diminish the opportunity for competitiveness should be planned and should be important to the board of trustees as well as to the former and current president. Generally, they should be one-on-one encounters with confidentiality as a core requirement. It's important when passing the baton to not appear to be still engaged in decision-making of any kind. Of course, it's entirely appropriate to seek and offer advice, but this should always be done privately and generally not very often.

In 2008 when I was elected president, I succeeded one of my dear friends and mentors, Andrew Sorensen. Andrew had been dean of the School of Public Health when I was a young, pre-tenured professor at the University of Massachusetts Amherst. He contributed to my development in myriad ways and we stayed in close touch as he moved to increasingly senior positions at Johns Hopkins University, the University of Florida, and the University of Alabama. I nominated him for the presidency of the University of South Carolina, and I was thrilled when he was appointed. I was then the dean of the School of Public Health, and later he appointed me as vice president of research and health sciences.

Still, even with all this closeness, respect, and shared history, I remember how it felt after he retired when he occasionally would offer me advice. It always came from the place that was meant to be positive for me and to advance my success, and the university's success. Occasionally, however, I might have preferred to have been left to my own assessment of a situation and ultimately my own decision-making. Hopefully, this experience helped me prepare to be a better former president now that I have that responsibility.

Final Thoughts

One thing that could skew nearly everything said in this essay is the relationship between the president and her or his constituents, especially the board of trustees. My own retirement experiences were "voluntarily" conceived and planned. Were there any kind of duress or serious conflict involved in my final years, my sentiments and advice would certainly be far different.

I'm not equipped to offer advice on how to handle such a departure/resignation made under duress, I would surmise that the negotiated terms, including those that are financial, would go a long way in buffering the potential frustration, dismay, or anger. Beyond that, it's obvious that the support of professional colleagues, friends, and family would be critical to navigating such a transition period.

Finally, the changing nature of higher education in the United States is palpable. Its value to our nation's economic and civic well-being is being questioned more vigorously and from more quarters than ever before. In one sense this is an opportunity to sharpen our mission, stay true to our core values, and also, where we can, rethink some of the things we have come to take for granted over the decades in which we thrived.

On top of that, the challenges of operating a sprawling organization on a day-to-day basis with all the imperatives of diverse constituencies will render the American university presidency increasingly complex. Tenures are likely to continue to diminish and then plateau at some lower number of years than they are, even today.

Sometimes it seems unseemly to be contemplating passing the baton "early" in a president's term of office, but the best institutions are constantly planning for succession even if the chief executive's departure is not expected near term. And it's never too early to embark on introspection, the conversation with one's self, about how they actually feel about their job and their longer-term future. Having a trusted person to engage with is also very healthy. It's never really too early to begin that contemplation . . . maybe even right after accepting the baton from the person ahead of you.

Because this chapter covered presidential transition, I haven't mentioned the fine mentorship and advice I received from John Palms, the 26th president of the University of South Carolina, who served the term prior to my predecessor. Needless to say, there is always a special relationship between those who presided at the same institution, no matter where they may go and no matter the time passed. That is a role that John Palms played exceedingly well and a role which I hope to be able to play sometime in the distant future.

Leadership Transitions Benefit by a North Star

Dr. Timothy P. White and Dr. Lars T. Walton

Transitions are inevitable and create a moment where campus leaders go, relatively rapidly, from "In the Know" to "Time to Go." Transitions are often not an easy path to navigate at personal and/or professional levels. Amicable transitions occur over several months if not a year, whereas less than amicable transitions play out on a much shorter timetable; time can be both an enemy and a friend. Authentic retirements into the so-called golden years have different factors in play than do circumstances where one is leaving for another leadership position. The factors are different yet again when it is an unceremonious departure because of a misjudgment of a leader's own doing or their inappropriate response to a significant campuswide incident. This essay explores types of transitions and delves into some factors and decision points that lead to them and optimize navigating them successfully. We discuss some attributes of leadership itself that help set the table for a positive separation. Of greater importance, this essay offers some strategies—regardless of the reason for the transition—that create a North Star for the transition window that is optimally beneficial to the person—in the here and now as well as for future employment, if that is of interest, but a North Star that also serves well the institution's core functions and values of student achievement and success, faculty teaching/research/creative activity, staff support, service to and engagement with multiple communities, ongoing philanthropy, and in addition helps set the table for the next leader to succeed. The most altruistic among us will typically put the needs, values, and future of the institution and next leader first. And in so doing, they will optimize creating a transition where personal legacies are preserved and future leadership appointments when desired have a greater probability of materializing.

University and college leadership changes are obviously an inevitable part of higher education. Transitions occur for several reasons and create a moment where campus leaders go from "In the Know" to "Time to Go." Regardless of the circumstances leading to a transition, transitions are often not an easy path to navigate at personal and/or professional levels, which are often immutably intertwined in engaged authentic leaders. In this essay, we discuss the general types of transitions that occur and some key attributes of good leadership as they set the stage for the inevitable separation. We provide some insights that lead to unexpected departures or short tenures for campus leaders, including some of the generic warning signs that leaders should be alert to. We finish the essay with thoughts for the outgoing leader to manage an exit under varying circumstances. The goal is to minimize personal and institutional harm and leave the institution and position better than it was found.

The Morphology of Transitions

Because of the heterogeneity of reasons for leadership changes, it is imperfect at best to attempt to categorize transition types. With that caveat in mind we categorize transitions into three "bins." Bin One identifies circumstances where the individual is genuinely retiring from higher education or retiring from a leadership position in a university or college and rejoining the faculty with appropriate responsibilities. Bin Two includes transitions that occur when one voluntarily moves to provide leadership at another university, usually as a step to a larger or more consequential campus. The Bin Three separations are less happy moments of an unceremonious departure. Bin Three separations are infrequent but usually gain disproportionate attention locally, regionally, and/or nationally. While Bin Three separations are to be avoided if at all possible, they occur, for example, when a leader is clearly in over his or her head and ineffective, or where a misjudgment of the leader's own doing or a campuswide incident that occurred on their watch and the response was inadequate. Bin Three cases usually are departures where a president is forced out by a governing board or a stakeholder revolt that renders them ineffective.

Additional factors that influence the tone and nature of the circumstances surrounding a transition is the length and effectiveness of a leader's tenure. At one end of the continuum are long-serving and highly successful presidents, and at the other end are short-term less successful or unsuccessful presidents. In the former case, most stakeholders and constituents are likely to "grieve" when losing a beloved long-serving leader who is a respected member of the campus and broader community.

In the center of the service continuum is the case of a campus or system leader who has been in place for four to eight years and done generally good work. In this case some constituents will be pleased by the departure and agree it's time for fresh new leadership. Other individuals will feel a tinge of betrayal that the separation is premature because there are important initiatives that need to be launched or are currently underway and not yet complete. While this latter emotion is commonly observed, it is in fact illogical because a good campus leader will always have important initiatives in the pipeline as they should fulfill the duties of the president up until the day after they step down.

At the other end of the service continuum are circumstances where a leader has only been in place for a short while and either isn't up to the task and the campus and community constituents recognize this, or if the person of any length of leadership service becomes disengaged and ineffective with the needs, expectations, and responsibilities of being a president or chancellor.

We will explore these issues and offer suggestions on how an outgoing leader can facilitate a successful transition. Our essay is based on our experiences in, and observations of, higher education. This includes Timothy P. White's (TPW's) personal experiences, having had the privilege of providing senior leadership at three R-1 universities plus eight years as Chancellor of the California State University (CSU; twenty-three campuses; over 470,000 students). Before retirement in January 2021, TPW guided, influenced, and observed transitions among twenty of the twenty-three presidents who reported to the chancellor at the CSU. Lars T. Walton's (LTW's) experience includes being a vice or associate chancellor at two campuses of the University of California, and for several years as TPW's Chief of Staff at CSU, where he worked closely on campus presidential transitions. And finally, this opinion is informed by our observations from afar of substantive transitions (good, bad, and ugly) that have occurred around the country.

Leadership Traits That Matter

There is value in considering what attributes make an effective leader who more often or not will then experience a well-managed transition at the end of their service. There is an element of truth that day one on the job as president is also the beginning of a runway—hopefully a long and accomplished one—that leads to a smooth separation transition down the road. Said another way, presidents and chancellors are always on an "interim" appointment as other individuals will precede and follow you.

In this short essay we will touch on only a few key elements of leadership, including building community, listening, shared development of strategic plans, and personal attributes.

Activities that campus leaders typically engage in—such as building trust among faculty and campus leadership, cultivating donor and town/gown relationships, being present at campus and community events—are important because they also build community on campus and in the region. These activities early and during your presidency will also factor into the tone and nature of the transition. The community you have cultivated can be respected allies at the time of separation and be helpful in facilitating a graceful transition (particularly those in Bins Two and Three). "Helpful" in this context means informed voices who can point out achievements and successes to help balance any voices that emerge that are excessively critical or venomous.

When accomplished people become campus presidents or chancellors, they often engage in a honeymoon listening tour among the plethora of stakeholders. They then engage the campus in developing a plan outlining a multiyear strategic intent built on the strength of the past and the emerging needs of the future.

Collaborative and consultative leadership does matter if you wish to accomplish something consequential. It's usually best to gather a team of stakeholders (faculty, staff, students, alumni, etc.) to develop that plan. By having others help shape and inform the goals of the plan, the president (and institution) gets the best ideas and goals in play. Broad ownership encourages all to work relentlessly to pursue the ideas, achieve the goals, and own the outcomes.

Plans of strategic intent help keep you on course no matter what headwinds come along. Leadership of a university requires resilience, as not everything works out. Indeed, leadership is where you seek success yet learn to manage failure and learn from it. Leadership requires the courage to be vulnerable and own errors and fix them, and the ability to be comfortable in a sea of ambiguity.

Leadership that inspires others to be better takes confidence and preparation—but not arrogance. Leadership benefits from humility and empathy, and by creating an environment where you wish to hear how others think. Indeed, active listening is a key part of leadership. Active listening isn't just waiting for someone else to stop talking, but rather it is listening and being fully present to what others are saying. It is indeed helpful to remember the word *listen* has an important anagram: *silent*.

And finally in our view leaders who are authentic and genuine aren't about self, but rather are purpose-driven in the service of others. Servant leadership is often used to describe that approach, and to do so one must genuinely enable, value, and celebrate the achievement of others around you—a colleague, a student, staff or faculty member—as if it were your own. Leadership benefits from compassion, inclusivity, courage, fair-mindedness, collaboration, curiosity,

respectfulness, and authenticity. When people feel validated and accepted, it builds trust. As Steven Covey and others have said: progress happens, change happens, at the speed of trust! This approach to leadership more often than not bodes well for a smooth separation at the end of your tenure as president or chancellor.

Deciding When It's Time to Leave

There are documents that in many cases influence the timing of transitions, such as verbiage in contracts or appointment letters, to the evaluative outcomes of formal multiyear comprehensive reviews. Such reviews allow governing boards to objectively assess presidents and chancellors by judging achievements against the a priori goals and expectations. Comprehensive reviews often occur every three to five years, in addition to the less formal review of effort that usually occurs at least annually. It is wise to insist on frequent informal assessments with your board leadership so "surprises" about your performance are minimized.

In the case of Bin One and Two transitions, it is helpful when presidents use honest and objective self-assessments of their accomplishments and institutional accomplishments against goals. There is value in leaving at a high point of your leadership tenure, such as closing of a comprehensive campaign, opening a major facility, or establishing a new school or college within the university that was a cornerstone of your efforts.

Alternatively, there can be factors that delay a separation, such as the vulnerability of a comprehensive campaign and philanthropy, the risk to enrollment or research funding, and/or the stability and quality of the senior leadership team.

There are also very important personal factors that come into play, and this is often difficult for a president or chancellor to give proper weight to. Indeed, even though your leadership tenure was several years of taking care of issues and other people, deciding to leave is a moment to think honestly and deeply about self and family. Have honest conversations with your spouse or partner, and a few "tried and true" trusted colleagues. Is that passion for the job there every morning, the so-called fire in the belly? Are there health or schooling issues for kids, or aging parents that you should get closer to geographically? In Bin One and Two separations you need to honestly calibrate factors that are best for you, because no one else can or will.

Sadly, in the case of Bin Three separations the president will lose control over most of the more coherent factors that can be used to guide decisions in Bin One and Two separations. In Bin Three cases a deep but quick and honest reading of the tea leaves among board leadership, media, direct reports, and stakeholder leaders is undertaken. And when it becomes clear that the writing is on the wall to leave and that the situation is irreversible, it's best for the institution and for you to move expediently to a separation.

At times in our leadership, we will wonder if this a "Bin Three" moment or only a bump in the road. This is when it becomes critical to already have in place a trusted set of friends and advisors, often outside of the institution with no stake in the outcome, who can give you the cold dose of reality.

Warning Signs That Can Lead to Unexpected Transitions

There are three main things that can go bad and lead to a Bin Three transition: relationships, relationships, and relationships! At the core of strong professional relationships is timely and accurate communications of the good, bad, and ugly things that will occur in a university and campus community.

Thus, one warning sign that there is trouble brewing is when communication starts to get stifled or less frequent, your calls not being returned, and so on. Good advice is to confront that and make sure there isn't an underlying agenda at work, and if there is to nip it in the bud.

While all the relationships will matter, the most important for a president or chancellor is the hiring/firing authority—typically a governing board (often named trustees, regents, curators, or similar terms). These people are the fiduciaries of the university and in public universities, they may be appointed by the state's governor and confirmed by the senate, or they may be elected by the public at large. In private universities fiduciaries come from many different community and business venues. During your time as president our best advice is to maintain frequent and honest communication with the board chair and other leaders; during the separation transition those relationships help.

We find it wise to follow the "no surprise rule" with those your report to. This is delicate because the unhappy things that occur at a university are usually a management issue (personnel matter, Title IX issue, etc.), whereas board responsibilities are more on the policy and fiduciary side. It isn't healthy for the institution or your leadership if board members start getting overly involved in management decisions. So another warning sign of pending trouble is if boards are frequently surprised and dismayed to first learn of something—particularly a negative matter—in the press or by a phone call from an elected or business leader. Or if board members become adamant in making management decisions that are in your purview.

Another warning sign emerges if the leader's cabinet, which is best to meet quite frequently to build and maintain relationships and manage issues and opportunities, stops becoming a vibrant and useful forum for discussing matters that really matter. Or if it becomes not possible to invite and welcome constructive dissent with an eye to make things better.

Be attentive to another warning sign of trouble brewing if attendance starts to wane at meetings of the president's cabinet, fiduciary board members, foundation board members, or campus galas.

A North Star and Some Mechanics of Transitions

Because the circumstances leading to a transition vary dramatically across the higher education landscape, we opine that it is best to identify institutional North Star(s) to guide the decisions that are in front of the person during the transition. Indeed, just as consequential presidents have developed a North Star to guide their tenure (e.g., a strategic plan to guide the university and their day-to-day activities during their presidency), the analogous need exists during a separation transition.

The most straightforward North Star that guides successful separation transitions is when the outgoing leader puts the needs, values, and future of the institution and its next leader first. In this scenario an effective North Star is one that serves well the institution's core functions and values of student achievement and success, faculty teaching/research/creative activity, staff support, philanthropy, and service to and engagement with multiple communities. It helps set the table for the next leader to succeed. Sadly, when transitions become clumsy it is often because of losing sight of those north stars that provide guidance in an often emotional time.

And as an added benefit with a principled North Star the person is strengthened by altruism, and it will optimize the opportunity for a transition where their personal legacies are celebrated and preserved.

One adage that we find to be extraordinarily helpful is to "arrive gracefully and leave gracefully." The first part of this adage is easier to follow than the latter part, because when you arrive most everyone is eager to meet you, share their thoughts with you while they learn about yours—the so-called "honeymoon" phase that hopefully lasts a year or so.

In separations categorized in Bins One and Two, it is easier to keep this adage of gracefulness in mind and have it guide your actions and communications. In Bin Three departures it will often be hard to do so, as many things will be off the table for you to influence or control. But don't lose sight of the fact that even in a tough Bin Three transition you can still control your behavior, actions, and communications.

Granted, in today's world social media can easily throw kerosene on a small spark and in a matter of hours create a firestorm. The outgoing president will have minimal influence over others in the general media and higher education trade publications. In these circumstances, the respected allies that a president developed during their term of service can become a useful force in minimizing unbalanced and unfair treatment at the end of their tenure as president.

In these tough and unhappy circumstances, it is helpful to make the transition as expedient as possible. And then during or after the departure, avoid any urges to publicly by spoken word or writing criticize your past institution or its people. The latter may be fully justified and feel good in the moment to do—but in the medium or longer run it won't go well and otherwise good legacies become soiled.

In addition to the notion of leaving gracefully, a second useful adage is "to do no harm." Suppress the occasional human-nature tendency to let zingers fly or post negative and blaming tweets and the like. Remain mindful that in public institutions in most states, anything you write in a letter or email—including casual or unfortunate word choice or intemperate thought—is subject to a legal public records request and may appear on the proverbial front page above the fold. Don't let your emotions of the moment get the better of you.

In the rare circumstance where an outgoing president has been authentically and verifiably wronged, such as a contract was violated, a serious false accusation made, or some other illegal or against policy activity, it is wise to engage counsel and think through options that are possible. It is less wise to engage in such discussions in the press or on social media if you are interested in the best possible outcome.

It is wise to discuss with your system chancellor or president, or the board chair or whoever is the hiring/firing authority the timing of an announcement for separations. Amicable Bin One and Two transitions occur over several months if not a year, whereas less than amicable transitions in Bin Three play out on a much shorter timetable. Indeed, time

can be both an enemy and a friend, and there may be some guidelines on this element in policy or your appointment letter or contract.

If the interval of time from announcing a separation to departure is anything less than three or four months, it could be harmful. A short timeline doesn't give enough time for the incumbent to finish open projects or at least develop status packages to help the next person continue the work. It doesn't allow for a thoughtful process to identify either an interim or permanent next leader. Alternatively, if the lead time is too long (more than one year), the outgoing incumbent will become a lame duck and less effective in getting important things done to benefit the institution. Long transitions delay the arrival of a new president and can slow campus development and philanthropy. Six to twelve months is about the right length of time for a transition.

In Bin One and Two separations, it's helpful for the incumbent to finish the most meaningful open projects and initiatives to help set the table for the next president to succeed. If there is an unpopular decision that needs to be made—such as removing a vice-president or dean that is weak—do those things so you shoulder "the blame" and not the next leader in their early months of service. Make the substantive decisions that have been in the works for some time and are still undecided. Don't equivocate, as the middle of the road is where there is at best discomfort and at worst roadkill!

There is an art in making the transition, and we have seen outgoing or former presidents do bizarre things that cause harm. In one case, a former president who had been out of office for many years but still lived in the community, when they came back to campus—often unannounced—they parked their vehicle in the one spot reserved for the existing president. When TPW learned of this as system chancellor, he went and spoke to that person to end the behavior. Another case was where the outgoing president (a Bin Two separation) moved to a campus office and continued to behave like they still were the president—for example calling deans to meet to identify and seek funds for a new initiative without alerting the new president, or publicly commenting in the hallways and campus coffee shops in a way that visibly second-guessed the new president's agenda. As chancellor, when this was brought to TPW's attention he visited with that person and at the end of an unreasonable discussion removed them from campus.

These examples may elicit a wince or a smile as you read them, and they are relatively minor in the big picture but do lead to negative campus gossip and influence one's legacy. More long-lasting harm can occur when an outgoing president, particularly if they stay living in the community, is not mindful of the things they might do or say—or not do or say—that undercut their successor. TPW had to reach out and influence the subsequent behavior of one particularly revered past president, a person without a mean bone in their body, who would come unannounced to campus events, engage with donors, and at times when asked about something the new president was undertaking provided an inert comment that then typically became interpreted as disapproval. It is these subtle behaviors that can do lasting harm to the institution, and sully the legacy of someone who otherwise was revered.

Observing these and many other occurrences led TPW to counsel outgoing presidents that when they step down to also step back. It is best for the institution and the successor if the outgoing president does not influence the hiring decision for their successor. A newly minted past-president is well advised to be sure the new president has their mobile phone number and that they would accept their calls for advice and counsel on matters pertaining to the university, but that they wouldn't initiate the call. TPW advised past-presidents not to come to campus or university

events without either an invitation or at least alerting the new president's office they would be at an event. To become a successful past-president, the number and depth of professional relationships on- and off-campus need not go away, but the interactions with such individuals need to be carefully and thoughtfully executed. The intent of course is not to interfere with the new president's ability to establish relationships or change course on policy and priorities that they themselves might have put in place.

Wrapping It Up

The apt name for this chapter is "passing the baton." Though many say our time in university leadership is a sprint, others will challenge that notion and say it is a marathon. But alas, ultimately our time in leadership is a dash. No, not the symbolic hundred-yard dash but rather the grammatical "dash" between the date of appointment and the date of separation . . . e.g., Timothy P. White, California State University, Chancellor (2012–2021).

How a leader approaches the "dash" sets the stage for the inevitable transition. The university will survive long beyond our own tenure, and it is important to recall that as personally difficult as the decision to transition out of the chair of leadership is, we must put the interests of the institution and the success of the successors at the forefront of a transition. Our dash in the history of a campus may be summed up with a portrait or a building, but our legacy will be establishing the foundation for those that come after us, leaving the university and the role better than we found it and of better service to the community we serve.

IV. In Conclusion - Topics for Further Discussions

In Conclusion - Topics for Further Discussion

Dr. Ed Ray

Readers are encouraged, after reviewing the chapter overview and essays for a given chapter, to engage in further discussions of the questions provided below for that chapter. As noted earlier, leading a department, college, program, division, or university is not a spectator sport. College and University leaders cannot predict future challenges and opportunities, but they can do their best to anticipate matters of consequence going forward and to avoid startling themselves by failing to do so. To that end, leaders should constantly ask themselves and their leadership teams "what if" questions. The objective is to establish a foundation for responding quickly and effectively to new circumstances as they emerge and to seize initiatives.

The questions below include most of those provided in the chapter overviews. Our essayists have provided excellent answers to many of those questions, and readers are urged to re-read essays if they are still uncertain how to answer the chapter-based questions listed below. In addition to the chapter overview questions, the essays contained in this volume raise a number of important questions and prompt readers to ask others, which are included here. Hopefully, the discussions stimulated among leaders, teachers, and students will help them establish the foundation they need to navigate and lead going forward.

Chapter 1: Learning the Culture and Setting Expectations

1. How does a new president or chancellor get colleagues throughout the institution to work with each other and the president/chancellor, given the existing institutional culture and the many subcultures within the institution?
2. How does a new leader make the judgment about the need for change and the pace of change in the institution?
3. How can one change the culture of an institution and how is the appropriate pace of change determined?
4. How does a leader who is new to an institution determine which voices to listen to?
5. How does one determine if he/she is a good fit for a specific leadership role or not?
6. What is adaptive leadership and how does one become an adaptive leader?
7. How does a new leader convey he/she understands the culture of the institution?
8. How does a new leader determine which policies and practices should be left alone and which ones need to be changes?
9. How does a new leader, who recognizes the need for institutional change, work productively with an institutional culture and/or sub-cultures that are resistant to change?
10. How can a new leader take advantage of NASH programs regarding "systemness" or create an analogous structure within an institution?
11. How can a new leader advance the implementation of an existing/new strategic plan?

12. Each institution has an authentic culture. How does a new leader identify what is authentic and bridge rather than break the path forward for the institution?

Chapter 2: Selecting and Assessing the Leadership Team

1. What is best practice for making staff changes?
2. How does one create a great leadership team?
3. How can a leader hold himself/herself accountable for effective performance?
4. How can a leader help team members improve their job performance?
5. Who should be direct reports to the president?
6. How does a new president determine the leadership structure in an institution and the span of authority of each member of the leadership team?
7. What are the advantages and disadvantages of being an Insider President? Outsider President?
8. Why shouldn't a new president ask for everyone on the leadership team to resign on Day One?
9. Should a new president bring leaders or staff from their last institution into the new college/university?
10. How can new leaders encourage effective communications up to boards, laterally to peers, and down to colleagues, especially bad news?
    How should a new president access and mentor leadership team members?
11. How should a new president select new members of the leadership team and evaluate continuing members of the team? Does it matter if the new leader comes from outside or inside the institution?
12. How can a new leader and leadership team most effectively create a strategic plan or revise an existing plan?
13. How does a new leader develop a leadership agenda aligned with the strategic plan?
14. Why should the leadership agenda include both internal and external goals?
15. What are some key characteristics of an annual review process for each member of the leadership team?
16. What are the characteristics of effective leadership team members?
17. How can a leader encourage candor and collaboration among leadership team members?

Chapter 3: Budget Policy and Long-term Planning

1. How can budgets be aligned with academic program demand and supply as well as institutional goals and aspirations while avoiding unintended negative consequences?
2. How can institutions generate alternative sources of funding and manage operating costs more effectively?
3. How can budget rules be designed to align incentives across academic and support units that are consistent with institutional strategic plans?
4. How does "budgeting strategically" work?
5. What are key characteristics of successful transitions from traditional to distributed budget models?
6. How does budgeting strategically accommodate interdisciplinary courses and research, prevent course poaching and fund shared assets such as libraries?
7. What factors determine the appropriate period of transition from traditional to strategic budgeting?
8. What is the role of long-term planning in the budget process?

9. How often should the budget model be reviewed and why?
10. Why should new leaders at every level of an institution have some understanding of budget allocations and processes as well as institutional data?
11. How can institutional leaders verify that incentives embedded in the budget allocation process are consistent with institutional goals?
12. Why is it important for leaders at every level of the institution to maintain strategic reserves of one-time money?
13. How can leaders deal with a "scarcity mindset"?

Chapter 4: Responding to Authority: Delegating and Establishing Accountability

1. How can communications between the board(s) and the president/chancellor be kept clear and timely? How are differences resolved?
2. How can a board delegate but verify internal effectiveness by the president/chancellor?
3. How can the campus leader reduce duplication of effort among members of the leadership team?
4. Given the external roles of both the board and campus leadership, how can they support each other's efforts?
5. How can a leader confirm the accountability of each team member with delegated authority for outcomes that meet expectations?
6. Why should senior leadership in an institution be expected to report contacts and communications with board members to the president/chancellor?
7. How can a president/chancellor operationalize a partnership with the board in which the campus leader manages and the board governs?
8. Why is it critical for the president/chancellor to share information, especially bad news, quickly with board members?
9. What are some of the ways that board members and boards can enhance the president's/chancellor's effectiveness as a leader?
10. What are the three "ask for forgiveness" rules?
11. How can a president/chancellor build a firewall to offset contention with board members?
12. What do you think of Dr. Young's advice to never take a job you cannot quit?
13. Why should a president take responsibility for mistakes or failures by members of her/his leadership team?

Chapter 5: Access, Affordability, and Student Success

1. Are there additional and, perhaps, more appropriate measures of student success than first-year retention rates and four-year or six-year graduation rates?
2. What does an effective enrollment management plan look like?
3. How do we create a more positive, diverse, inclusive, and socially just campus culture?
4. What are best practices for raising graduation rates, closing achievement gaps, and improving other measures of student success?

5. How does an institution develop and implement an enrollment management plan that is effective and responsive to societal needs?
6. What are the causes of the "demographic cliff" facing higher education?
7. How can low-income students be made more aware of limits on federal loans they obtain?
8. What can institutions do to provide students with information about campus groups they can join to feel part of a community?
9. Can more be done to provide students with employment opportunities on campus and should freshmen be required to live on campus?
10. What are some high-impact practices, HIPs, that can help students persist through to graduation?
11. Can HIPs be incorporated into courses at every level of instruction?
12. Should career counseling begin in the freshman year?
13. What is the University Innovation Alliance and how does it work?
14. What is meant by the student-centered redesign of higher education?
15. To what extent should colleges/universities offer students certificates and badges along with traditional degrees?
16. How can process mapping help institutions redesign administrative processes that students have to navigate to be successful?

Chapter 6: The Learning Process

1. How can we provide new and continuing faculty with the pedagogical tools they need to be effective teachers today and in the future?
2. How can institutions most effectively support the teaching and research activities of fixed-term, unionized, and tenure-track faculty, who are often working together?
3. Under what circumstances are traditional, hybrid, and strictly online courses and student service offerings most effective for successful student learning?
4. How will we most effectively teach, do creative work, conduct research, and collaborate within and across institutions in a post-COVID world?
5. How can a college/university begin to provide resident students and others with quality online learning opportunities?
6. Are online teaching skill requirements the same as in-person skills and, if not how are they best acquired?
7. Are students of particular age groups or other student characteristics more likely to benefit from online education?
8. How can a college/university reach out-of-state and out-of-country students with online programs?
9. How can faculty incorporate technology into teaching and class management?
10. How do faculty craft and practice pedagogies that reach a student population that is increasingly diverse in terms of race, gender, ethnicity, gender identity and educational background?
11. How do faculty provide deliberate engagement of undergraduate students in research and graduate students in the skills required to be a great teacher?
12. How can faculty engage more effectively in advising, which includes awareness of student mental health chal-

lenges, as well as in the creation of support systems and pathways to success?
13. What are the three basic skills of excellent teachers and can they be scaled?
14. What does it entail for faculty to commit to the "whole student"?
15. What does it mean for faculty to have an agility mindset and how can an institution foster that?
16. What support systems and financial incentives could institutions provide to enable faculty to become excellent teachers and scale that process across the institution?

Chapter 7: Research and Service

1. What strategies can Research I public and private institutions employ to increase and diversify their research funding and still serve the needs of society?
2. How can colleges and universities more broadly support all of the creative activity in their institutions and bring discoveries and creative endeavors into the classroom?
3. How have universities shifted away from the simple focus on basic versus applied research of earlier decades and why?
4. How much at risk is the traditional notion in public universities that research findings are free to the public and why?
5. How difficult is it for graduate students to include research findings in their master's or doctoral thesis?
6. How can contemporary research officers be best positioned for success?
7. How can a chief research officer work research messages into presidential remarks and provost speeches and why is that important?
8. How does an institution build a positive culture for research?
9. There are several lists of national and global research challenges. How does an institution assess which, if any, of those challenges it can or should address?
10. How can an institution initiate and sustain interdisciplinary centers/institutes to address global research challenges?
11. How can interdisciplinary centers/institutes connect to the curriculum and traditional disciplines?
12. What are the major federal sponsors of research funding and how important is federal funding to university research?
13. Why isn't there more private business funding in academic research?
14. What are the advantages of using off-the-shelf commercial data resources for tracking research?
15. How can innovation and entrepreneurship be integrated into the tenure and promotion system?
16. What are some examples of actions that offices of research can take to foster the development of transdisciplinary teams?

Chapter 8: Creating a Safe Community

1. How do colleges and universities respond to demands to punish sexual assault offenders, protect the rights of the accused and support victims in a timely way?
2. Should campuses rely on local police for protection or have their own public safety programs?

3. Beyond litigation that may succeed or fail, what can institutions do to better serve the needs of victims?
4. What are the most effective programs in academic institutions to address drug abuse and mental health problems among faculty, staff, and students?
5. What are the best practices for a college/university that is serious about providing work-life balance for faculty, staff, and students?
6. What is the most effective way to provide a safe working, living, and learning environment for the campus community?
7. Should campus police carry guns?
8. Are there effective training programs for campus public safety officers?
9. When there is an incident on campus, why is it important for leaders to "show up" authentically and not on anyone's side?
10. Why is it important to recognize campus safety as a multidimensional construct?
11. What actions are campus leaders required to take in response to the Clery Act and Title IX?
12. What does it mean to take the educational approach as a leader in handling incidents of inappropriate language or behavior on campus?
13. What would you include as key elements of a safe campus in the broadest sense?
14. How do we understand the current challenges facing our students?
15. What campus resources do we have to help students address their challenges?
16. What can we do to strengthen our communities to meet the needs of students?
17. Young people, in particular, continue the process of self-formation in higher education. How can colleges and universities help students to develop and recognize their authentic selves?
18. How can we more deeply connect the activities that support the work of formation with our programs that support mental health?
19. How are we engaging new research from across the academy to shape a commitment to mental health?
20. What are some recent campus programs focused on student mental health and wellness?
21. How can campuses defy the 40-40-33 law?
22. What are institutional betrayal and institutional courage?
23. What are steps leaders can take to create and sustain institutional courage?
24. Why should institutions focus on mandatory support rather than mandatory reporting in cases of sexual assault?

Chapter 9: Fundraising from Soup to Nuts

1. What are the characteristics of successful stewardship programs for current and potential donors?
2. What are best practices for an institution-wide fundraising campaign?
3. How does one develop a feasibility study for a fundraising campaign?
4. How are program and institutional goals set for a fundraising campaign?
5. How does an institution create a compelling narrative for a fundraising campaign to garner donor support?
6. What happens to fundraising when the campaign is over?
7. How aligned are the fundraising and strategic planning goals of the college/university?

8. How does donor stewardship contribute to long-term fundraising success?
9. What is the 80-20 or 90-10 rule and why is it relevant to fundraising strategy?
10. Who should development officers report to in the institution and why? How are they evaluated?
11. Why is it important for the institutional leader to be disciplined in the fundraising effort?
12. Why is it helpful to think of fundraising goals as a "to-do list"?
13. To what extent are deans and chairs held accountable for fundraising success?
14. Who determines which leader(S) and development officer(s) work with a particular major donor?
15. What are some examples of how volunteers and potential donors can be meaningfully engaged in the institution?
16. How can the alumni association enhance the friend-raising-fundraising relationship?
17. How engaged should the president/chancellor be with the foundation or fundraising advisory board?
18. What is the best approach to setting a fundraising campaign goal?
19. What are the long-term benefits of a fundraising campaign?

Chapter 10: Big-Time College Athletics

1. What are the best practices for aligning operations within athletics with institutional values and practices and goals for student success?
2. How does the current model for funding Division I athletics programs work and how should it change?
3. How should transfer portals and name-image-likeness funding be regulated, if at all?
4. How engaged should the president/chancellor be in the operations of the athletics program?
5. What is the proper role of the board in athletics?
6. What is the appropriate reporting line for the athletics director?
7. Should athletes be paid employees of the university?
   How can a president/chancellor learn about Big-time athletics and stay informed?
8. Are media contracts realigning conferences and eliminating historical rivalry games in college football and basketball and is that okay?
9. What are Alston benefits and how are they changing the financing of college athletics?
10. What, if anything, can the NCAA do to maintain competitive equity in collegiate athletics?
11. Should a football student-athlete be able to start his own a lawn care business utilizing his name, image, and likeness?
12. The NCAA prided itself on its three-in-one philosophy of Division I, II, and III all in one organization with one set of rules. How is this structure changing and what are the good and bad aspects of those changes?
13. The NCAA rulebook has decreased from 43 to 18.5 pages, mostly to reduce the risk of future litigation. Is this change likely to affect competitive equity in collegiate sports and, if so, who benefits and who loses?

Chapter 11: Internal and External Communications and Accountability in a Crisis

1. How does a leader operationalize a policy of no surprises with an institutional board and/or a system board?

2. What do effective communications between boards and campus leaders look like in the context of a crisis?
3. How are responsibilities assigned and performance monitored within the college/university to address a crisis?
4. How can alignment be established and maintained in the face of a crisis with regard to strategic planning and the deployment of resources to implement planned actions?
5. How does the institution communicate effectively with its many internal and external constituencies, given the existence of continuous review and comment by internal and external constituents?
6. How does one foster alignment among board, faculty, staff, unions, and students and how do these relationships change in a crisis?
7. In a multi-media environment, what is best practice for effective communications with external constituents and do communication requirements change in the face of a crisis?
8. How can campus leaders maintain an objective assessment of race relations, safety, and sense of belonging on their own campuses?
9. When there is a campus crisis, how do campus leaders know what communications will be most helpful and how should messages be communicated for the greatest effect?
10. Who are the best messengers for different kinds of crises?
11. How does one balance transparency and swift communications against the need for accurate reporting?
12. How important is two-way communication with the surrounding community during a crisis and how can it be implemented?
13. How can college presidents discern public sentiment as a means of determining what is possible in times of crisis and when to weigh in?
14. How do leaders determine when a crisis warrants comment? What is the process for crafting a narrative and who delivers the message?
15. How important is trust and a clear understanding of the roles and responsibilities of the president and the board to effective crisis management?
16. How can a president build trust with internal stakeholders such as faculty, staff, students, and unions?
17. How can a president build trust and support in advance of a crisis with external stakeholders such as local, state, and federal elected officials, business leaders, local, state, and national media, alumni, and donors?
18. How does one go about creating crisis management plans and crisis communication plans and stress test them in advance of a crisis?
    How does one create and stress test whole enterprise risk management plans?
19. How can the facts surrounding a crisis be confirmed and how should they be communicated to stakeholders?

Chapter 12: Passing the Baton

1. What is the anatomy of a failed leadership in higher education?
2. What are the circumstances under which an established and even strongly supported leader should step down?
3. How can a leader prepare the way for his/her successor?
4. What can leaders do to set the stage for continued institutional progress after they have stepped down?
5. How do leaders know it is time to go and how can one leave gracefully?
6. What are the common causes of failed presidencies?

7. How much notice should a leader give before stepping down?
8. How should a leader negotiate his/her transition when stepping down?
9. If a president/chancellor steps down and stays on campus, should she/he keep a low profile?
10. Should campus leaders face mandatory retirement and, if so, at what age?
11. Why is it better for a former president to provide advice to a successor only when it is requested by the new president?
12. All transitions are not created equal. How long should transitions from campus leadership be when they are genuine retirements, moving on to another position, and a failed presidency?
13. How can an established strategic plan help in implementing a transition to new campus leadership?
14. How important is the quality and effectiveness of the leadership team in managing the transition to a new president/chancellor?
15. How can a troubled leader get honest and objective counsel on whether or not it is time to step down?
16. How does a president/chancellor know he/she needs to move on?
17. When matters go badly and a president needs to leave, how can he/she help to minimize the damage dealt to all concerned?
18. What are some warning signs that a presidency may be heading for a bad ending?
19. What is a "principled North Star" and how can it smooth transitions in leadership?

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Introduction: Leadership Challenges, Opportunities, and Lessons Learned

Chapter 1. Learning the Culture and Setting Expectations

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Recommended Citations

APA, 7th edition

Book:

Ray, E. (Ed.). (2023). *Handbook of Higher Education Leadership*. Oregon State University. https://open.oregonstate.education/handbookhighereducationleadership/

Chapter:

Sullivan, T. A. (2023). Organizing to lead. In E. Ray (Ed.), *Handbook of Higher Education Leadership*. Oregon State University. https://open.oregonstate.education/handbookhighereducationleadership/chapter/organizing-to-lead/

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