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THE CASE FOR INCREASING ENROLLMENT AND LEVERAGING MARGINAL COSTS: CALIFORNIA STATE UNIVERSITY, NORTHRIDGE CASE STUDY

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The California State University System (CSU¹) struggles to fulfill its mission and achieve financial stability during a time of rapid state defunding of public higher education. The CSU is faced with two conflicting strategies: growing enrollment and taking advantage of economies of scale or reducing enrollment to keep a balance between state allocations and fee revenue. This study will investigate these two strategies for managing declining state dollars and will come to the conclusion that growth is the better alternative at the given fee levels. The study will estimate the marginal cost for increasing enrollment from a theoretical point of view using data from the IPEDS data base and formulae for replacement costs suggested by the California Legislative Analysts Office as well as actual data from California State University, Northridge's Financial Statements and Office of Institutional Research.

¹ Note: Throughout this article, institutions are referenced in an abbreviated format. The key to said abbreviations is as follows: BA – California State University Bakersfield; CSU- California State University system; CH – California State University – Chico; CI - California State University Chanel Islands; DH – California State University Dominguez Hills; EB – California State University East Bay; FR – California State University Fresno; FUL – California State University Fullerton; HOUD – University of Houston Downtown; HUM – Humbolt State University; LA – California State University Los Angeles; LB – California State University Long Beach; MB – California State University Monterey Bay; MET – Metropolitan State College (Colorado); NOR – California State University Northridge; PO – California State Polytechnic State University Pomona; PUEB – Colorado State University Pueblo; SAC – California State University Sacramento; SB – California State University San Bernardino; SD – California State University San Diego; SF – San Francisco State University; SJ – San Jose State University; SLO – California Polytechnic State University San Luis Obispo; SM – California State University San Marcos; STAN – California State University Stanislaus

Theoretical Marginal Cost

Knowing how much instruction costs or could cost will not solve the supply problem—how much general fund the state has. Nor will it answer the riddle of demand—how much price students/families tolerate. But the knowledge can help. By breaking down and comparing categories of cost, we can assess what reductions are possible, with what effects. Presumably, we then can re-aggregate these categories into a generalized cost of instruction; this figure then can inform the debates about funding.

This report is conservative in assumptions and methods. It does not project an ideal cost by imagining completely new models for higher learning and its business. Nor does it advocate for a new measure for funding, as in graduates per FTES. Rather, it identifies distinctive practices in nearly 400 BA, MA, and R2 universities like the CSU. And it does so through marginal and full cost of instruction calculations, using IPEDS [1] data from '06-07 to '09-10. The drawback is that this approach relies on what was to guide what might be; this is, however, offset by the variety of practices across the institutions.

In addition to IPEDS categories, the report includes these indices to cost:

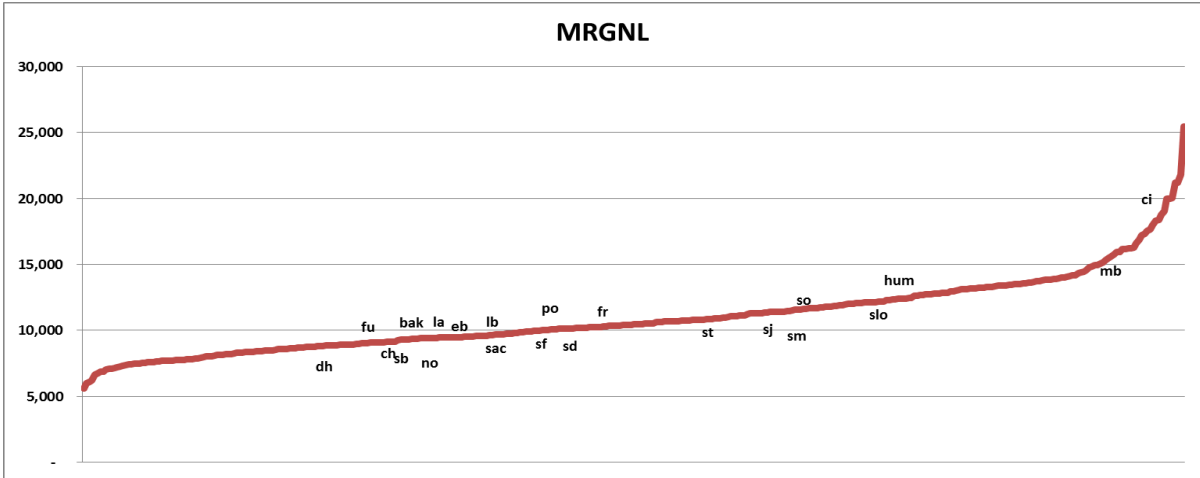
Replacement: the campus-averaged cost of adding/replacing a tenure-track faculty, figured as the mean between assistant professors and lecturers/instructors with benefits at the rate in Instruction. This sum then is divided by the SFR so it can be expressed as an amount per FTES.

Marginal: replacement cost plus support; excludes research. The figure includes 90% of the remaining cost for Instruction, 80% of Academic Support, 65% of Student Services, and 60% of Institutional Support. According to the LAO, these percentages exclude fixed costs that are relatively insensitive to demand. The numbers are summed over FTES. Comparisons require a formula because detailed expenditures are not readily accessible across institutions. A fixture of annual allocations linked to enrollment growth, a marginal increase does not account for changes in ongoing costs.

Marginal and Discount: factors in the fees not collected as a discount or grant—the SUG in CSU; does not include share that goes to auxiliaries for books, supplies, room, board, etc.

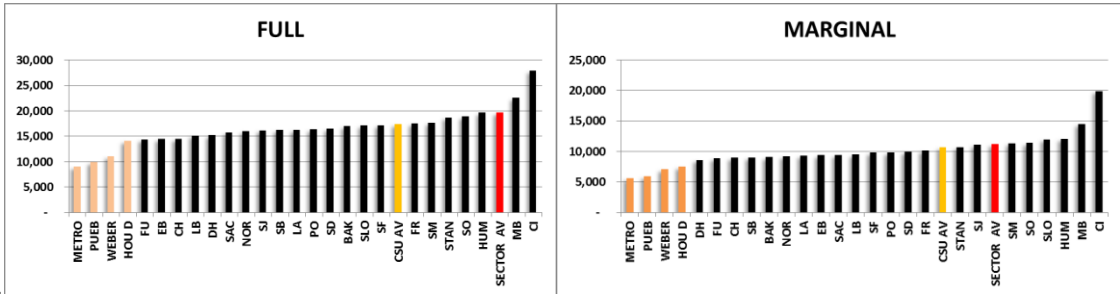
Full: 100% of the categories under Marginal and of Public Affairs and Research, as well as the whole Discount—all normalized over FTES. Does not capture either irregular costs such as capital or auxiliary expenditures.

The charts provided in this report are snapshots. The tables reserve white rows for CSUs; shaded rows highlight system averages, sector averages without CSU, and other illustrative universities in the sector, Metro and Pueblo in Colorado, Weber State, and Houston Downtown. The data and analysis do not refer to California Maritime Academy because its role, function, and cost are such outliers. The following graph presents an overview of marginal cost at 389 schools in the sector of the CSUs. The values on the slope range from \$5,000 to \$25,000. The CSUs fall into three groups, \$8,000 to \$10,000, \$10,500 to \$12,500, and above \$14,000. Table 1 clarifies details.



The averaged CSU marginal and full cost rates are lower than the rates for the sector as a whole. This is due mainly to the high SFR and the lower cost for Instruction, despite the much higher mean replacement salary in the CSU. Economy of scale - compare the averaged FTEs - restrains the effect of Institutional Support on marginal cost, too. The next two charts focus on the relative order of marginal and full cost for the universities.

The table exposes the challenges and chances for reducing marginal and full cost. The highlighted data for the peers at the top of the grid show low replacement/entry salaries and benefits. CSU is unlikely to match those; salaries are negotiated, and benefits are set externally. But the effect on cost of Instruction can be achieved, to some degree, in other ways, by increasing SFR and decreasing the proportion of truly full-time faculty. Of course, if these moves yield a graduates/FTES index as low as at Metro State (see full data), then the change is a false saving; it actually increases the cost per graduate.



There is a less draconian but more arduous way to reduce cost. Determine the top third performances in each relevant category; average the costs. Treat each average as a limit—floor or ceiling, as pertinent. Study

the campuses that already meet the thresholds. This approach could reduce the average marginal cost by 20%, under \$9,000. It also could bring discipline, scale, benchmarks, and purpose to the unruly mob of current cost-saving projects. And for that matter, it could quash the hokum on for-profit efficiency. This chart sums data on 211 such schools that enroll at least 1,000 students.

It is true, however, that the twenty-four for profit universities that are fully online reduce cost substantially. Typically they run SFR over 30, hire few full-time and no tenure-track faculty, pay FTEF in the range of \$40,000, and tamp down benefits. On the other hand, they graduate 18% in six years; the CSU rate is

Table 1

	Marg	Full	FTES	Sdr	Instr	AC Sup	St Ser	Inst	Oth	Ttl	Ben	Sal
MET	5,592	9,050	17,321	22	4,142	605	832	919	328	6,843	20%	47,310
PUEB	5,954	9,976	6,679	18	3,905	1,094	1,273	626	596	8,284	22%	45,186
WEB	7,093	11,025	16,009	21	4,672	1,114	1,127	1,501	906	9,576	35%	47,902
HOUD	7,505	14,162	9,330	20	4,427	1,859	587	2,028	3,416	12,813	22%	56,033
DH8	8,674	15,244	10,496	26	5,563	1,614	1,874	1,226	1,27	13,064	31%	67,634
FUL	8,926	14,437	27,721	27	6,205	1,144	1,361	1,935	2,166	12,925	35%	64,754
CH	9,023	14,564	15,484	25	5,935	1,707	1,443	1,594	1,514	12,433	37%	61,054
SB	9,076	16,309	14,816	27	6,215	1,237	1,552	1,870	3,390	14,412	35%	59,968
BA	9,112	17,071	7,202	25	5,523	1,658	1,867	1,977	2,258	14,667	34%	61,824
NOR	9,304	16,031	26,787	25	6,146	1,362	2,208	1,411	2,011	13,350	34%	62,233
LA	9,389	16,310	16,718	23	6,346	1,554	1,233	1,982	1,844	13,105	34%	62,674
EB	9,439	14,519	13,395	27	5,831	1,596	2,012	2,000	1,687	13,134	34%	65,753
SAC	9,477	15,813	23,401	26	6,495	1,548	1,575	1,611	2,489	14,047	36%	62,492
LB	9,534	15,215	28,495	24	6,661	1,614	1,626	1,243	1,719	12,942	33%	65,603
SF	9,849	17,255	24,943	25	6,526	1,891	1,412	1,818	2,206	15,944	34%	67,143
PO	9,887	16,441	17,576	27	6,485	1,677	1,876	1,792	2,660	14,564	35%	66,070
SD	10,025	16,610	28,359	26	6,220	1,929	2,585	1,262	2,268	14,564	36%	67,068
FR	10,192	17,588	17,942	24	6,293	2,193	1,876	1,829	3,182	15,713	40%	59,402
CSU	10,697	17,387	15,972	24	6,803	1,888	2,105	2,075	2,128	15,416	35%	63,360
STAN	10,730	18,774	6,988	21	6,533	2,232	2,033	2,078	2,442	15,843	35%	59,941
SJ	11,145	16,236	23,310	24	7,698	1,685	2,269	1,556	1,221	14,504	34%	67,200
AVE	11,242	19,704	8,959	18	7,539	1,804	1,637	2,422	1,843	17,375	35%	53,296
SM	11,391	17,708	7,405	23	6,791	2,334	1,968	2,742	2,297	16,177	35%	63,116
SO	11,427	18,948	7,364	22	6,985	2,176	2,405	2,249	1,369	17,517	35%	61,598
SLO	12,052	17,189	18,225	21	8,256	1,784	2,357	1,932	1,114	15,604	35%	64,353
HUM	12,137	19,677	7,232	22	7,217	2,168	2,585	2,935	2,596	17,562	35%	58,294
MB	14,570	22,598	4,364	24	7,809	2,522	4,134	3,997	2,059	20,676	36%	55,314
CI	19,965	27,984	3,154	19	11,933	3,910	4,054	4,608	1,555	26,398	35%	70,441

48 percent. Their degree completion rate (DG/FTES) is 12%; the CSU rate is 27%. Marginal and full costs are as follows:

	Mean		Mean	25 th %ile	75 th %ile
INSTR	1,737	MEAN SAL, BEN/SFR	2,434	2,918	2,431
SUPPORT	5,129	NON-PRSNL EXP IN INSTR	1,477	770	1,682
		SUPPORT	5,975	3,883	7,872
MARGINAL	6,866	MARGINAL	9,886	7,571	11,995
FULL	9,98	FULL	7,162	7,162	17,054

Large questions remain. Minor and major capital projects were funded out of additional pots. If that is no longer to be, should they be scheduled into full cost like depreciation? To that end, technology infrastructure has never had a stable source. Should it, and should these formulae be it?

Finally, marginal cost data reveal one source of the perception of structural deficits. When the figure—really the purchase price for new permanent enrollment—is lower than current funding per FTES, it smells like fire. Is the lower price sustainable since it, too, seemingly will convert to higher cost long-term? But that is not necessarily so, to the degree feared. The current funding consists of an accretion of system-wide increases on sequences of unevenly achieved local fees and on legacies of state funding that varied by the newness, size, and mode/level of each campus. Table 2 illustrates the averages for four years of such data through '09-10.

Table 2

CSU	Marginal	Funding	Delta
CMA	17,716	24,745	7,029
CI	14,356	18,793	4,437
MB	11,310	15,398	4,088
SM	9,486	12,054	2,567
HUM	10,854	13,068	2,214
SO	10,205	11,928	1,723
EB	9,291	10,963	1,672
SD	9,703	11,183	1,480
DH	9,328	10,591	1,262
FR	9,109	10,316	1,207
BAK	9,708	10,712	1,004
PO	9,773	10,382	608

CSU	Marginal	Funding	Delta
CH	9,523	10,046	522
NOR	9,488	9,781	292
FUL	9,522	9,739	217
SB	9,407	9,581	174
SAC	10,084	10,206	122
SF	10,373	10,395	21
SLO	11,968	11,971	3
SJ	10,875	10,806	(70)
LA	10,066	9,946	(120)
STAN	10,900	10,340	(559)
LB	10,369	9,373	(996)

The system, though, largely abandoned such pegging under Chancellor Munitz. So, as the campuses age, one should see greater convergence between marginal cost and funding per FTES on the small/newer campuses. And indeed, one would expect convergence across all campuses.

The meeting and then crossing of these two figures on several old, large CSUs would indicate that funding lagged market pricing disturbingly. This is so because marginal cost is weighted toward the salary of an assistant professor, at once particularly subject to market demands yet the lowest tenure rank. We are entering that stage.

The Practice

As seen in the data above the marginal costs, and its components, vary a great deal across campuses. These costs were derived using a standard formula, and based on data from the IPEDS data base. The practice, however, tells a different story.

Student to Faculty Ratios

The Student to Faculty Ratios SFR reported in IPEDS is an average for the entire undergraduate enrollment, and does not reflect differences in costs for different programs and class levels. In the last four years, the CSU SFR for lower division classes averaged around 31 (see [3]), while upper division classes averaged around 25, and is currently at 27. Variations in enrollment are handled in different ways at the different class levels. In large enrollment lower division classes a decrease/ increase of enrollment will usually be addressed by a mixture of adjusting the SFR and adding/canceling sections. Only the adding or cancelling of classes will cost or save money. The SFR adjustment will be mostly neutral with respect to the costs. The additional cost/saving will happen at the SFR of 31, not at the SFR of 25 as stated in the formula above (for CSUN). The situation at the upper division level is entirely different. In programs with a large number of majors (>500) multiple sections of upper division classes are offered every semester. A substantial increase/decrease (>5%) of majors may require adding/canceling sections of such classes. Most programs (and virtually all at small and medium campuses) are smaller than that. In these programs only one section of a required upper division course may be run per semester or even per year. And often these sections are under-enrolled, but have to be offered in order to let students graduate. In these cases, increases or decreases of up 10% will be entirely absorbed by adjustments in the Student to Faculty Ratio.

Replacement Salaries

When adding a class, the common practice is to hire a new lecturer or increase the workload of an existing lecturer. Only after a certain threshold of growth is achieved (usually over multiple years) will tenure track faculty be added. Currently, at CSUN's Mathematics Department, despite an enrollment growth of over 25% over the last 5 years, new tenure track hires are only keeping pace with retirements. The tenure track faculty did not increase, since 2007. So, growth in enrollment will be almost entirely absorbed by hiring lecturers at a salary below \$50,000/year. Now if classes are canceled, it will always be at the cost of the lectures with the least seniority and the lowest salary.

Instructional, Academic, and Institutional Support

The actual figures from CSUN's financial report for 2010/11 [2] are markedly lower than the figures from the IPEDS data base. These costs were \$1330, \$1380, and \$1,411, respectively.

Student Services

The IPEDS data show \$2,011 per FTES, excluding the money for State University Grants. However, the 2010/11 CSUN Financial Activities Report shows \$2,370 per FTES, including the State University Grants. This amount will be used in the following analysis.

The Estimated Actual Marginal Cost per FTES

Using a \$50,000 salary, and SFR of 31, yields the following costs (after benefits): (a) Replacement Cost: \$2,161; (b) Instructional Support: \$1,197; (c) Academic Support: \$1,104; (d) Student Services: \$1,541; and (e) Institutional Support: \$847. These then yield a total marginal cost of \$6,850, or roughly \$2,500 less than the LAO formula. This number does not take into account the effect of absorbing some of the enrollment changes by adjusting the student to faculty ratio. Assuming that a decrease of enrollment will result a decrease in SFR by one (approximately 3 percent), and an increase will result in an increase of SFR by one, we get different values for the marginal cost/savings for increasing and decreasing enrollments.

For an increase of enrollment at an SFR of 32, one gets a marginal cost of \$6,683, whereas the decrease at a SFR of 30 will yield a marginal savings of \$6,922.

The \$50,000 salary is the reimbursement rate used internally, the actual rate at which lecturers are hired (in Math) is \$42,000, or a replacement cost of \$1,816!

The Impact on Revenues

The university earns a net fee revenue (discounts in the form of state university grants are accounted as costs in student services) of approximately \$7,000. Based on this the net marginal savings, the university loses \$78 per FTES it doesn't accept! The net marginal cost net for increasing enrollment brings in \$317 for every new FTES.

But there are other revenues connected with enrollment. These come mostly through auxiliaries. The University Corporation's housing, parking, and health services earned \$26 million or \$963 per FTES. Assuming the same factor of 65% as in student services in the marginal cost calculation, this additional marginal revenue is \$626. In total, the marginal revenue per FTES is \$7,626 Comparing this with the marginal cost/saving one comes to the following numbers:

Net marginal savings for decreasing enrollment per FTES: -\$704

Net marginal cost for increasing enrollment per FTES: -\$943

In other words, the university earns \$943 for every extra FTES, and loses \$704 for every FTES of enrollment cuts. Now in growing the enrollment, at some time the University will have to hire full time tenure track faculty at added cost. By contrast in shrinking the enrollment the University will always only “save” at the lowest lecturer salaries! The table below shows the relationship between faculty salaries and SFR for revenue neutral growth. The third column gives the maximal salary for revenue neutral growth with considering auxiliary revenue, found in the last column.

Table 3 demonstrates that at the current cost structure the University can afford to add new students at a SFR as low as 28 and a salary of \$50,000.

Table 3

Maximum Replacement w/o Auxiliaries	SFR	Maximum Salary	Maximum Replacement w/ Auxiliaries	Maximum Salary w/ Auxiliaries
2,311	20	34,393	2,927	43,687
2,311	21	36,217	2,927	45,871
2,311	22	37,942	2,927	48,055
2,311	23	39,667	2,927	50,239
2,311	24	41,392	2,927	52,423
2,311	25	43,113	2,927	54,507
2,311	26	44,838	2,927	56,691
2,311	27	46,563	2,927	58,875
2,311	28	48,288	2,927	61,059
2,311	29	50,013	2,927	63,243
2,311	30	51,738	2,927	65,427
2,311	31	53,463	2,927	67,611
2,311	32	55,188	2,927	69,795
2,311	33	56,913	2,927	71,979
2,311	34	58,638	2,927	73,163
2,311	35	60,363	2,927	75,347

Full-time Hiring

As the faculty ages, retiree's must be replaced. We must bear in mind that faculty at retirement earns relatively high salaries of around \$100,000. These are replaced with new hires at around \$75,000. Retiring two faculty members almost pays for three new hires. But since the workload of three faculty member is higher than the workload of two, the remaining cost for the three new faculty members can be largely covered by the decrease in workload for lecturers. There are some costs such as promotions that are not taken into account here. Since most faculty members will receive two promotions during their career there are future costs connected with hiring. But in general this strategy will move the age (and as such the income distribution) toward lower numbers and as such will not generate any substantial cost.

Conclusions

- Increasing enrollment comes at lower than expected cost, and when coupled with an increase in efficiency (higher SFR) can actually stabilize the financial situation of a campus.
- Decreasing enrollment saves less, if any money and will almost always have the side effect of reducing the efficiency of a campus (lower SFR, lower utilization of existing infrastructure). The exception to this rule is, if enrollment is decreased by closing inefficient programs or even entire campuses.
- Many of the smaller campuses are very inefficient, and should grow enrollments to a sustainable level of efficiency.
- Large Campuses should use an enrollment target that optimizes efficiencies.
- Surpluses from auxiliaries should be used to subsidize instruction and other areas related to the core mission of the university.
- Specialty campuses (such as SLO, and CMA) and destination campuses (such as Humboldt, where the overwhelming majority of students do not come from the immediate area, but rather from the urban Bay Area and Southern California) should consider substantially higher fees.

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MULTIGENERATIONAL DIVERSITY IN THE ACADEMIC WORKPLACE: IMPLICATIONS FOR PRACTICE

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Have you peeked lately at the age range of your faculty? There may be “senior” faculty over 65 and some even into their 70s and older. At the other end of the range, there may be junior faculty instructors and assistant professors in their 20s, fresh out of the academic womb. You could have a span of more than 50 years between two or more faculty members. If you continue peeking, you might find an even wider age range between administrators, such as deans, provosts, and human resource directors, and administrative assistants, research or teaching assistants, and students. This variability in ages changes the interpersonal dynamics in the academic work environment. The corporate sector has already experienced these changes.

Four Generations

These ranges and everyone in between suggest four possible distinct generations. This is the first time in history that this many generations have attempted to work together. This multigenerational mix gives new meaning to “diversity” (Arsenault, 2004; Crampton & Hodge, 2007; Kuron, 2012). Age can be labeled as another demographic source of differences among us, tossed into the workplace profile with gender, race/ethnicity, and sexual orientation.

How many generations are currently represented by your administrators, faculty, and staff? The nonacademic workplace in businesses and corporations has already witnessed this mix and the impact of the generational differences. In fact, hundreds of articles and more than 20 books (e.g., Burmeister, 2008; Deal, 2007; Delcampo, Haggerty, Haney, & Knippel, 2010; Dorsey, 2009; Elliott, 2009; Espinoza, Ukleja, & Husch, 2010; Gravett, 2007; Johnson & Johnson, 2010; Lancaster & Stillman, 2002; Lipkin & Perrymore, 2009; Lower, 2006; Magnuson & Alexander, 2008; Martin & Tulgan, 2006; Meister, 2010; Sujansky & Ferri-Reed, 2009; Zemke, Raines, & Filipczak, 2000) have been published on this topic. But almost nothing has appeared in the higher education literature.

Differences among Generations

When 20-somethings are working in an environment with WWII, Korean, and Vietnam veteran 70-somethings, along with the generations in between those “somethings,” there are bound to be some differences in communication, work style, and job/career ambition (Dries, Pepermans, & DeKerpel, 2008). They bring different experiences, expectations, and perspectives to the workplace. There can be clashes in values, beliefs, and attitudes rooted in those differences. Further, the use or nonuse of the ever burgeoning technology has magnified the differences.

So, what’s the problem? There have always been employees who can’t get along with one another. This is not the same as personality conflicts, workplace jealousies, and professional competition. *Negative encounters of the multigenerational kind* are attributable to systematic differences in perspectives between members of different generations and the problems that can result (Society for Human Resource Management, 2010). These differences will add to the interpersonal conflicts already occurring in the workplace with incivility, bullying, and microaggressions metastasizing throughout higher education for more than a decade (Chapell et al., 2004; Forni, 2002; Sue, 2010a, 2010b; Twale & DeLuca 2008). Many of those behaviors have been manifested in communications on the Internet in the forms of cyber-bullying and cyber-harassment (Gupta, 2008).

The purposes of this article are (1) to summarize the defining characteristics of the four generations in academia, (2) to pinpoint the differences with the greatest conflict potential, (3) to examine the prevalence of generational bullying in higher education, and (4) to consider the practical implications of these generational issues for faculty and staff training and development. It seems appropriate to address these issues before the sources of conflict and hand-to-hand combat erupt.

The college/university work environment and its inhabitants are very different from that of businesses and corporations. Although many of the problems may be the same, they will manifest themselves differently, thereby requiring different solutions. This article addresses the first critical steps in order to diagnose the root causes for misunderstandings and bullying and, eventually, to leverage the assets of each generation to attain the outcomes of higher education.

Identification of Generations

Definition of Generation. The literature on the multigenerational workplace has defined “age cohorts” that share unique, collective life experiences, values, attitudes, behaviors, and memories that are different from one another (Dencker, Joshi, & Matocchio, 2008; Eyerman & Turner, 1998; Lancaster & Stillman, 2002; Schuman & Scott, 2004). Each generation has a set of characteristics circumscribed by specific birth years and significant life events (Kupperschmidt, 2000; Twenge & Campbell, 2008). Although there isn’t perfect agreement on these years and events, there is consensus and sufficient evidence among most published sources on the characteristics presented in this article.

Limitations of Generational Categories. Any time a researcher attempts to lump people into categories, there are going to be limitations and lumps. My disclaimer for these generational categories is as follows: *Each generation is infinitely more complex than any single profile can reveal. The members of each generation comprise a fluid, messy, and diverse group, where a one-size-fits-all mold ignores their variability in skills, abilities, personalities, experience, socio-economic levels, ethnicity, nationality, gender, sexual orientation, and class. It is appropriate to acknowledge these limitations in any description of generations. However, it is also legitimate to suggest a set of characteristics and cultural trends derived from sound scientific research that can provide insight on values and expectations and guide the workplace practices for administrators, faculty, and staff in higher education.*

Multigenerational Workplace: Characteristics of Four Generations

Most likely you have three and, probably, four generations on board with the following age ranges:

1. Traditionalists (67–∞ years)
2. Baby Boomers (48–66 years)
3. Generation X (32–47 years)
4. Net Generation (17–31 years)

The major characteristics and life-shaping events of these four generations (adapted from Delcampo et al., 2010; Junco & Mastrodicasa, 2007; Magnuson & Alexander, 2008; Patota, Schwartz, & Schwartz, 2007) are listed in Table 1 (Berk, in press). A description of the salient characteristics of those generations and their differences follow.

Traditionalists (Silent Generation)

The Traditionalists (born 1922–1945) have been partitioned into two groups by Magnuson and Alexander (2008): Civic/GI (1922–1931) and Adaptive (1932–1945).

Civic/GI: This group is what Tom Brokaw profiled as the “Greatest Generation” (2004). They are the children of the Depression and many are World War II veterans, dying at an estimated rate of 1000 a day. They are also called the “Silent Generation” because they bottled up their emotions and kept silent, even about their war experiences. Now, some are contributing to blogs, such as “Geezer Planet: Life in the Slow Lane” (<http://seniorcitizenhumor.blogspot.com>); others are creating bumper stickers such as “CONTINGENCY DOCTORS: If you don’t live...You don’t pay;” “I’m speeding because I have to get there before I forget where I’m going;” “Florida: God’s waiting room;” and “Over What Hill? Where? When? I don’t remember any hill” (Berk, in press). Yet others are still working beyond their retirement years in academia and elsewhere; celebrity examples include Barbara Walters, Warren Buffet, Betty White, Angela Lansbury, Henry Kissinger, and Ruth Bader Ginsburg. Among the 20 million Civic/GIs, 8% are in the workforce.

Table 1 – Characteristics and Life-Shaping Events of Four Generations

Traditionalists Born 1922–1945	Baby Boomers Born 1946–1964	Generation X Born 1965–1981	Net Generation Born 1982–2003
<i>Characteristics</i> Patriotic Conservative Respect Authority Loyal Conformity Disciplined Collaborative Civic Pride Personal Sacrifice	<i>Characteristics</i> Reject Authority Individualistic Competitive Workaholics Politically Correct Social Causes Optimistic Idealistic Questioned Core Values	<i>Characteristics</i> Independent Latchkey Kids Skeptical “Me” Gen Shun Tradition Distrust Authority Reactive Work-Life Balance Team-Oriented Tech Savvy Entrepreneurial	<i>Characteristics</i> Tech Savvy Team-Oriented “Twitch Speed” Multitask Connected Instant Gratification Pressure to Succeed Nomadic Racially/Ethnically Diverse Respect Authority Traditional Values
<i>Life-Shaping Events</i> WWII Korean War Vietnam War Great Depression New Deal Radio	<i>Life-Shaping Events</i> Vietnam War Watergate Civil Rights Women’s Rights Gas Crisis Man on the Moon Woodstock Ralph Nader Television Kennedy/Nixon Kennedy Assass.	<i>Life-Shaping Events</i> Persian Gulf War Cable TV/VCRs Computers Video Games High Divorce Rate Women at Work Single Parent Homes Microwave ATMs Cell Phones Challenger Reagan/1 st Bush	<i>Life-Shaping Events</i> Iraq & Afghan. Wars 9/11 Columbine OK Bombing PCs & Internet Video Games iPods/iPhones/iPads HIV/AIDS Reality TV/FiIOS Terrorism 2 nd Bush/Clinton Clinton Impeach. Obama

Adaptive: This companion group shares a lot in common with the Civic/GI, except the Depression and WWII. Instead, many are veterans of the Korean War and some served in the Vietnam War. They experienced major social changes, moving between the “old world” of the hardworking Civic/GIs and the “new world” of civil rights, feminism, and Vietnam War protests. Among the 30 million in this group, the 12% still in the workforce are well past the traditional retirement age. Many were 1960s cultural pioneers (now in their 70s), like Gloria Steinem, Colin Powell, Ralph Nader, Bill Cosby, Neil Diamond, and Tina Turner. Combined with the Civic/GIs, there are 50 million Traditionalists, 67 or older.

Baby Boomers (Me Generation)

The Boomers (born 1946–1964) grew up in the '50s and '60s. Nearly 50 to 66 in age, they were the largest generation of 80 million (1 in 4 Americans) until the Net Generation (aka Millennials) popped out. Boomers are remembered for rocking the '60s with Vietnam War protests on college campuses, Woodstock, experimenting with hallucinogens, and the Broadway musical *Hair*. They demanded that college administrators give them a voice in educational decisions that affected them. They expressed their collective voice by singing social commentary folk songs like “Michael Row the Boat Ashore” and “Puff,” while sitting in the entrances to administration buildings.

In addition to their social and political activism and ubiquitous bell-bottom jeans from Army-Navy surplus stores, Boomers are highly competitive and workaholics. Their commitment to careers coupled with the Women’s and Civil Rights Movements led to dual careers by many parents, struggles to balance careers with family, and married women retaining their last names or hyphenating them with their husbands. These struggles increased divorce rates (36%).

Now they are turning 65 at the rate of more than 10,000 per day (Social Security Administration, 2012), but their ideas about retirement are redefining what it means to age. They comprise a third of the current workforce (5 million) and, for a variety of reasons, including commitment to careers, many are not retiring. In fact, 80% envision working in some form during their retirement years. This may be attributed to the advances in science, technology, and medicine, and improvements in nutrition and education. In other words, with increased life expectancy and a supply of pharmaceuticals, these Boomers may be thriving for quite some time. Consider that Boomers Bill Clinton, Hillary Rodham Clinton, Bill Gates, Oprah Winfrey, David Letterman, and a large chunk of world-wide faculty and administrators are still producing.

Generation X (MTV Generation)

Gen-Xers are the smallest of the four generations, numbering 46 million, born 1965–1981 (32 to 47 years old), and comprise only 18% of the workforce. However, they have a greater entrepreneurial spirit than any previous generation. They perceive themselves as free agents with the flexibility to change or create their own jobs every few years. This spirit also extends to their preference for flexible work schedules, teamwork, diversity, prompt feedback, casual attire, a “fun” work environment with basketball hoops, and promotion based on ability, not seniority. They are also the first generation to integrate technology into their everyday lives (Delcampo et al., 2011).

Emerging in the shadow of the Boomers during the '70s and '80s, this “latchkey” generation did not want to repeat the workaholic lifestyles of their parents and have their children experience their high divorce rate. Gen-Xers work to live, not live to work. They wanted a work-life balance rather than status and tenure; they have a greater commitment to their careers than to the institutions for which they work (Cennamo & Gardner, 2008).

Gen-Xers grew up with computer games and social networks. They are media savvy, consumed CDs and music videos with stars like Michael Jackson and Madonna, and watched TV programs such as *Sesame Street*, *Mr. Rogers' Neighborhood*, *The Cosby Show*, and *Family Ties*. Many of their characteristics will be reflected and extended by the Net Generation.

Net Generation (Millennials)

There are nearly 50 books and 10 national and international surveys of this generation who grew up with the Internet. They have been researched, surveyed, and studied more than any generation in history (Berk, 2009a). Born 1982–2003, the Net Geners (aka Millennials, Gen Y, etc.) have emerged as the largest generation or demographic bulge, with nearly 90 million (one-third of U.S. population) 10 to 31 year olds in 5th grade through graduate school and employees 17 to 31 descending on the workplace. They compose 30% of the workforce, comparable to the Boomers, who they are destined to eventually replace.

Net Geners are well-educated and achievement-oriented. They adopted many of the same life and job preferences as the Gen-Xers. However, their job-hopping mentality is slightly different. They know that if they lose a job or decide to quit or simply can't find a job, they can always hop back into their Boomer parents' home, where 34% of those 18–32 years old (22 million) now reside (Fry, 2013). Based on U.S. Census Bureau data, younger Net Geners (56% 18–24) compared to older ones (16% 25–31) and males (40%) compared to females (32%) are likely to be living with their parents.

In addition, they extended the use of technology to every aspect of their lives. They are a "mobile" tech generation with iPods, iPhones, iPads, and other iGadgets. The iHardware has apps with constantly expanding interactive capabilities from almost anywhere on the planet. Although most Net Geners are super-tech savvy, they value collaborative activities, both face-to-face and virtually with Skype or texting, and contribute to Web 2.0 and 3.0 by blogging, creating their own websites, and engaging in social networking, wikis, and Second Life (Berk, 2009a, 2010a, 2010b). They have no problem posting personal information and, sometimes, revealing photos on their sites, which can endanger their hiring potential by employers.

They multitask and operate at "twitch speed," a term borrowed from their computer game experiences, which means a typical lack of patience with people or equipment that function slower than they do, which is just about everyone and everything. They want instant feedback on their performance and feel pressure to succeed at everything they tackle with high expectations for that success.

In academe, there will be Net Generators, assistant professors, directors and other administrators, teaching/research assistants, plus a variety of support staff. In addition to the academic workforce, there is a massive invasion of students 17–31 years old from undergraduate through graduate levels. In other words, "No Academician Left Behind." Professors can't escape them. Net Geners are everywhere. Flip-flops, texting without vowels and with emoticons, backpacks, and "Bro" or "Dude" are a few signs of the invasion.

Potential Areas of Conflict

The four generations of personnel bumping into one another in higher education represent the most diverse age composition in academe ever. The baggage outlined in Table 1 and described previously that they bring into every department and meeting they attend can affect the emotional intelligence, especially interpersonal relationships, of everyone and, ultimately, their job satisfaction and productivity (Fisher-Bando, 2008).

Among the various generational differences, there seem to be at least a half dozen that bubble to the top as potentially the most common sources of conflict: (1) dress/appearance, (2) work hours/work ethic, (3) technology, (4) expectations for advancement, (5) communication, and (6) respect/professionalism. Differences in values, work styles, and attitudes intensify in a fast-paced, stress-packed academic work environment. The issues defining each of these sources need to be considered to start thinking about the possible solutions.

Prevalence of Bullying in Higher Education

Bullying in academia has been gaining traction over the past decade with women, Blacks, and those in subordinate positions the most frequent targets (Chapell et al., 2004; Twale & DeLuca 2008). Administrators and faculty are the typical bullies. Age can now be added as another demographic reason to humiliate, embarrass, undermine, insult, belittle, put down, shun, taunt, or marginalize the people with whom you work.

Budget cutbacks in recent years, requiring everyone to do more with less, and other factors have heaped more job tasks and responsibilities on most employees, especially those in brick-and-mortar community colleges, liberal arts colleges, research universities, and other institutions of higher education compared to those specializing in distance or online programs. These job add-ons have increased stress and pressures to function effectively in the workplace, which, in some cases, have manifested themselves in the form of bullying. The generational differences of these employees are now part of that mix.

A survey of American workers has already found generational bullying on the rise. Gen-Xers are the most vulnerable (50%), and Net Geners ((27%) and Boomers ((23%) are the least bullied (Workplace Bullying Institute [WBI]-Zogby International, 2010). (Traditionalists were not included in the survey.) In another survey of full-time workers by CareerBuilder (2012), age differences were a significant factor, with 54% of those bullied saying they were bullied by someone older and 29% saying the bully was younger. Bullying occurs in both directions. In academe, we need to stem the tide of bullying and eliminate or, at least, decrease the incidence of age diversity as a major source of workplace jousting.

Implications for Practice

Administrators who are in the primary leadership positions to create a pre-emptive age diversity initiative to avert potential conflicts could include the provost, vice-provost, director of faculty development, and director of human resources. One of those can be the “air-traffic controller” to coordinate a campus-wide effort to tackle these generational issues. Since all faculty, administrators, and staff are involved, the cooperation of the director of a center for teaching/training and learning or provost/associate provost responsible for faculty development must be obtained. A variety of activities and workshops will be required. Faculty development activities should, at minimum, consider the differences among the generations in planning programs for faculty and retreats for all employees. The programs should be sensitive to their differences in what is presented and, more importantly, in how it is presented. Even better, specific events should be designed to address the six areas of potential conflict mentioned previously. Here are some suggestions of several issues that might be considered in creating workshops and training and development on those topics.

Dress/Appearance

“Why can’t I be comfortable and wear jeans and a T-shirt?” Academe isn’t Google. What is appropriate dress in academia? It has always been a bone of contention between some faculty and their immediate supervisor, especially department chair. Administrators don traditional business attire; faculty and staff may wear the same, business casual, or picnic casual. Net Geners and Gen-Xers typically lean more toward casual dress. The issues are: (a) Should a dress code be set for faculty, administrators, and staff? (b) Is any casual attire in the office ever appropriate? What about Friday, when nobody is there? (c) What image does type of dress convey about your institution or department? (d) Is dressy traditional or casual the message you want to send to students? (e) Will dress choice really affect anyone’s performance?

Work Hours/Work Ethic

“Why do I have to be in the office when I can complete my work at home or at Starbucks®?” At home you can keep an eyeball on your young kids, which will help cut back on daycare expenses, and write your articles; at Starbucks® you can write a grant proposal and just about everything else. That’s great for professors, but what about everyone else? Colleges and universities vary considerably in their requirements for office work hours, which may be a function of traditions other than those that are generational. Some insist on a 9–5 workday even with evening and/or weekend classes, especially for administrators and staff; others permit more flexibility in hours. With the preference for the latter by Net Geners and Gen-Xers, the need for “regular hours” is being challenged. Here are a few issues: (a) Can faculty work anywhere, anytime to prepare for class and write grant proposals, articles, and books? (b) Can specific office hours be designated for advising (as it always has been), committee meetings, laboratory and research work, and clinical practice? Can those sessions also be held with mobile devices? (c) Can “traditional” face-to-face meetings with individual or small groups of students or faculty be conducted virtually by Skype, iPhone, iPad, or the latest

electronic equipment? (d) What work can be done by each person outside of the office and what work must be completed on-site?

Technology

"PowerPoint® animation is so easy. Why can't she figure it out?" Perhaps the biggest gap among the four generations is the familiarity and use of the latest tech equipment, gadgets, and software/apps. Net Geners and a large percentage of Gen-Xers grew up with the technology; Boomers and Traditionalists have been learning it on the fly and always seem to be playing catch-up. Those who have retired have a lot more time to catch up. "Reverse-mentoring" might be a possible strategy to assist the older generations catch up (Murphy, 2012). There are several issues: (a) Do all faculty and staff have access to the latest technology for office work and in-class and online class applications? (b) Does everyone have the opportunity for training on the effective use of the equipment and software to level the playing field? (c) Can more tech-proficient faculty members, regardless of generation, mentor less proficient faculty members? , which can reach across generations? (d) Should use of appropriate technology and strategies be encouraged as part of everyone's evaluations and the student and peer rating forms used? (e) Who determines which electronic equipment and apps are required or forbidden in the office and class?

Expectations for Advancement

"Why do I have to wait 3 (or 5) years before I can be reviewed for promotion if I meet all of the other criteria?" Academia has been rather rigid in the faculty time-in-rank requirements for promotion and tenure. Those requirements may vary across institutions, but, within each institution, the criteria are quite explicit. Here is a typical "time" scenario: (a) Instructors are usually given a life term, renewable by semester or annually, or until they complete their doctorate and are eligible for promotion to assistant professor. (b) Assistant professor may have a probationary period of one to three or longer, usually five, before review for associate. (c) Associate professor may be five to seven years or longer until criteria are satisfied to be recommended for review for professor and tenure.

Although there are time requirements corresponding to each rank, usually the time needed to meet the research, publications, teaching, service, and practice requirements is determined by the individual faculty member when he or she feels ready to be considered for promotion. One complaint by some Net Geners is that promotion should be based on merit alone according to the specific criteria, not time in rank, which is similar to seniority in business and industry. They should not have to pay their dues and wait in line. They want an E-ZPass to promotion once they have met the requirements. The issues are: (a) How important is "time in rank" if the candidate's achievements are the foci of the criteria against which he or she is evaluated? (b) What is the reason for "time in rank"? (c) Can the criteria for promotion be streamlined to permit those on the "fast track" to move forward at *their* rate? (*In considering this question, one might be tempted to ask, "There are accelerated academic programs everywhere; why not an 'accelerated tenure*

track?") (d) How might administrative and staff positions be re-evaluated on performance criteria to streamline the pipeline to promotions?

Communication

"Email is sooo slow. Texting is the fastest. That's my preference." Outside of face-to-face contact, there are a wide range of communication options. This has become a point of contention between the generations. Older faculty and staff may dig their heels in and prefer phone and email; most whippersnapper youngins' text and use instant messaging. These communications can also be executed with a variety of mobile devices to permit immediate responses and feedback.

Further, there are differences in the use of social media for professional, instructional, and social communication. The buzz of Twitter, LinkedIn, Facebook, Pinterest, and many other sites can be heard in the office, classroom, student lounge, coffee shop, and just about everywhere else on and off campus. Every generation is online with one or more of these media. Predictably, Boomers and younger Traditionalists in their 70s gravitate toward LinkedIn (Berk, 2013) and, to a lesser extent, Facebook. Gen-Xers and Net Geners are on all sites, but use them differently (Hylmö, 2012). Their potential as teaching tools has yet to be realized. The issues are: (a) Should there be a standard mode and social media site for office communications? (b) Should within-class and blended and online class communications and use of social media be determined by each instructor and group of students? (c) Should everyone communicate by whatever means he or she deems appropriate? (d) What electronic communication equipment and software/apps should be required or forbidden in class?

Lack of Respect/Professionalism

"What is wrong with you? How many times do I have to explain these corrections?" Disparaging remarks, put downs, sarcasm, jeering, and ridicule, as well as negative body language, such rolled-eyeballs, ugly facial expressions, and taunting laughter, are the typical disrespectful behaviors. There are even more subtle forms called "microaggressions" that are not intentional, but hurtful nonetheless (Sue, 2010a). The differences in knowledge, style, history, and baggage among the generations, some of which were identified in Table 1, can create conflict easily. Respect fits within the broader context of professional behavior in the workplace. Building an *atmosphere of respect* for all employees and students can be challenging, but it has to begin somewhere. The issues relate to (a) understanding generational differences and viewpoints; (b) creating an open and continuous dialogue on respect; (c) providing a chat room and blog on respect; (d) modeling respect in daily behaviors; (e) recognizing people for respecting generational differences.

Most of the research on professionalism and illustrations in practice has been generated within the medical profession (Stern, 2006). Respect is only one category of professional behaviors for faculty, administrators, and staff. Others include the following: emotional intelligences of intrapersonal and interpersonal skills, team working, communication, accessibility, responsibility, altruism, honor, integrity, caring, and compassion. Character dimensions or attributes that may also fit under the domain of

professionalism are leadership, excellence, creativity, motivation, values, aspirations, self-confidence, and initiative. Rarely are any of these behaviors discussed, much less, formally measured in higher education for faculty and administrators. Maybe they should be to provide accountability for those behaviors in the workplace (Berk, 2009b).

Conclusions

The current generational composition of faculty, administrators, and staff in colleges and universities is more diverse and complex than at any time in the history of higher education. Just as with other categories of diversity, employees' knowledge, understanding, and appreciation of the characteristics, differences, and potential sources of conflict are essential. This article was designed to furnish a starting point for that understanding and to suggest systematic methods for a pre-emptive strike at those sources before they become full-blown conflicts.

Provosts, faculty developers, and HR directors must take the leadership to address these issues with custom-tailored workshops and retreats in order to cultivate an academic workplace where four generations of employees and students can thrive and be productive together rather apart. Those leaders know their personnel and campus culture better than anyone. Isn't this approach worth serious consideration now rather than later when the battles begin? The challenge is to be proactive and take action to reduce and, hopefully, eliminate those gestures and words that can destroy the academic work environment.

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A VIEW ON THE ROLE OF SCHOLARLY ACTIVITY AT A PRIMARILY UNDERGRADUATE INSTITUTION

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Edinboro University, like other comprehensive universities across the country, wrestles with the role research and other forms of scholarly activity should play in an institution whose primary mission is teaching. The traditional view is that all faculty should participate in three separate activities: teaching, scholarly activity and service. The discussion then revolves around the balance between these three activities, especially scholarly activity and teaching. I would like to suggest an alternative view; scholarly activity is a form of non-classroom teaching.

For centuries, the most common form of teaching was the apprenticeship; one or a few students working directly with a master craftsman. This system is still in use in doctoral programs today. Few would deny that only a physics professor actively conducting research can adequately train a student to be able to contribute new knowledge in the field of subatomic particles. Similarly, only an artist working at the cutting edge of his or her field can train students on how to

incorporate the latest concepts in their work. To be an outstanding physicist or artist requires that one advance the field by contributing new knowledge; in other words, by conducting scholarly activity. To teach students how to reach that level, how to contribute new knowledge, requires that faculty members not only conduct scholarly activity, but engage their students in that pursuit.

What of faculty at the other extreme, teaching freshman? Do faculty members teaching freshman math need to engage in scholarly activity in order to successfully engage the attention and interest of their students and teach them the basic facts and concepts of algebra? Certainly, that faculty member should keep current on trends in mathematics education, but is it not reasonable to suggest that the ability to clearly explain algebraic concepts is more important to teaching introductory algebra than producing scholarship in mathematics or even in math education?

Based on these two extremes, it might be reasonably assumed that the higher the level of the course, the more necessary it is for the faculty member to be actively engaged in scholarly activity. This holds true even for the teaching of the process of research itself. At the beginning level, students are instructed in what the process of research is, and they begin to learn how to develop and test simple hypotheses. While knowledge of the field and the process of scholarly inquiry in that field are necessary for a faculty member to teach at that level, actually being engaged in scholarly activity is probably not required. When teaching at more advanced levels, however, it becomes more and more important for the faculty member to be engaged in scholarly activity.

It is important to stress here that quality teaching at the freshman level is no less important, and no less difficult, than quality teaching at the doctoral level. It can take every bit of ingenuity and creativity to make beginning math, chemistry or history engaging and understandable as it does to help the doctoral student develop the research question that will lead to his or her thesis.

What I am suggesting is that at institutions where the primary mission is teaching, scholarly activity be viewed as non-classroom teaching. At such an institution, faculty members should not be judged simply by the number of publications, but

rather by their ability to engage students in classroom and non-classroom teaching activities. By necessity, this will require that we evaluate each professor individually. One faculty member may have an outstanding ability to teach students to understand the simple concepts of a field and apply those concepts to novel situations, totally within the classroom. Another faculty member may excel in both classroom teaching and in his or her ability to integrate students into non-classroom scholarly activities. Still another faculty member might collaborate with students in the generation of new knowledge, and by that means, train students who are ready to become scholars in their own right. Each of these faculty members should be assessed not by a constant metric which judges that they have done an adequate amount of both teaching and scholarly activity, but rather by the energy and talent they bring to helping their students, and the University, excel.

My goal in writing this article is to begin a dialog on the role of scholarly activity at primarily teaching institutions. When scholarly activity is viewed as a form of non-classroom teaching, it fits squarely within our mission to provide the highest quality undergraduate and graduate education. It is my hope that through this dialog we might come together as a community and develop a flexible framework that will allow us to value all forms of teaching, classroom and non-classroom alike.

ACTS INFLUENCING HOW HIGHER EDUCATION DEALS WITH INFORMATION

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When most higher education administrators, staff, and faculty hear the acronym “FERPA,” their mind turns to aspects of confidentiality and the complexities of institutional information management. The Family Educational Rights and Privacy Act (a.k.a. the Buckley Amendment, or 20 USC S. 1232g) certainly commands a fair amount of administrators’ attention and is the “citation of choice” among registrars, advisers, information managers, and legal counsel regarding general guidelines for dealing with student information (U.S. Department of Education, 2012; White, 2013). Since its inception in 1974, FERPA has been a mainstay in the minds and lexicon of most educators, students, families, faculty, and administrators in higher education.

There are, however, a variety of nuanced, recent acts that warrant a renewed consideration of the manner in which higher education institutions deal with student information and people. Moreover, recent crisis situations—such as

shootings, hazing incidents, acts of terrorism, and risky student organization activities—have raised questions about the way institutions now must approach student information management. Students are also becoming increasingly mobile; one-third of all students switch institutions at least once before graduating (Hossler, Shapiro, Dunder, Ziskin, Chen, Zerquera, & Torres, 2012). With this increased student mobility, issues of information security and transfer between institutions have become more prevalent than in prior decades. The issues of how information supports or averts crisis situations in higher education institutions and the broader community have also grown in concern. Higher education has faced high-profile situations wherein a pattern of threatening or questionable behavior could have presumably been established if information were more accessible across institutional units (DeStantic, 2012).

Furthermore, private entities are offering substantial financial incentives to institutions in an attempt to purchase higher education data.

Meanwhile, students and their families clamor for information on professor ratings, grades, and tuition costs (DeSantis, 2012). There are more reasons than ever before for institutions to provide student data and there is a unique tension concerning how institutions must manage student information. Institutional leaders have diverse opinions on how their student data should be handled. Yet, ethical commitments to the secure and efficacious handling of student data and realizations that data reflect human beings are the foundation of professional practice in information managers in higher education (Association for Institutional Research, 2012). On one hand, mandates and ethical principles uphold the importance of treating student records, information, and data with the utmost of security and confidentiality. On the other hand, institutions face an ever-increasing tide of accountability measures, scrutiny from the public regarding the quality of student outcomes and safety, involvement by federal security agencies, and pressure from parents desiring more control and involvement in students' lives.

More recently, there has been a push for institutions to open up their student data to consumers through private corporations. Higher education information managers face pressures to consolidate student data to a centralized database to make data collection and access quicker and more user-friendly. Usually data are stored on secure university servers and spread across multiple software systems or units, making data retrieval more difficult and, by default, more intrinsically secure. However, if data are consolidated, they

would likely be more susceptible to breaches in security and improper use (DeSantis, 2012). This idea of information consolidation is spreading to other industries, such as healthcare, and is quickly becoming entrenched in their culture and day to day operations. The encroaching dilemma we are now faced with is how can, or should, institutions balance the competing agendas of data security and data usage in such evolving and complex environments?

Campus leaders must maintain a current, working knowledge base about the legal precedents and full range of mandates and guidelines related to student information and privacy. This knowledge base is becoming even more essential to the protection of student data as state and federal policies evolve and calls for access to data continue from the private sector. To support this need to stay current, this article addresses several nuances of recent acts that factor into the approach that information managers must maintain when handling student records and information. Specifically, we address how the Higher Education Opportunity Act of 2008, the Health Insurance Portability and Accountability Act, the Communications Assistance for Law Enforcement Act, the Red Flags Rule, and the USA PATRIOT Act adjust practices of higher education information management. We will briefly review the history and contexts of FERPA, perhaps the primary legislative act considered when discussing student information and privacy. After this brief introduction, we address each of the aforementioned acts and explain the challenges they might represent to higher education

information managers. We conclude with a review of how these acts challenge higher education institutions to realize their ideal as a learning organization and see inevitable security challenges as opportunities for further improvement. We argue that the common theme across all of these legislative acts is call to live out higher education's learning mission by preparing for and responding to crisis situations by preemptively seeking out information that could prevent such situations. We also offer a brief overview of information management practices which may comply with all of these acts and FERPA, thus better situating an institution to respond to critical situations and pressures.

A Brief History of FERPA and Recent Updates

Higher education faculty and staff have a fascination if not a fixation with FERPA policies, procedures, and implementation. FERPA commands a wide variety of attention ranging from incomplete, tacit familiarity to comprehensive treatments and interpretations of recent changes (Stiles, 2012). FERPA has been lauded and vilified, often with many mistaken interpretations and even rampant fears about the provisions it does uphold. In our own experiences FERPA has been cited as the act preventing student social security numbers from being posted in public spaces along with exam grades, as a unsubstantiated form of federal encroachment on the classroom that prevents faculty from calling upon students by name in class, or that forbids any sort of information sharing across institutional units whatsoever. It seems even with the intense focus and widespread familiarity

with the FERPA name, there still exists a certain amount of misunderstanding about the act, its intentions, and delimitations.

The Family Educational Rights and Privacy Act of 1974, § 513 of P.L. 93-380 (a.k.a. The Education Amendments of 1974), was signed into law by President Gerald Ford on August 21, 1974 and took effect on November 19, 1974. It was originally intended to be one piece of the General Education Provisions Act (U.S. Department of Education, 2004). It has also been referred to as the "Buckley Amendment" after its principal sponsor, Senator James Buckley of New York. FERPA was offered as an amendment on the Senate floor and, as a direct result, it was neither subjected to committee consideration nor was it supported by minute-taking. Thus, we have only a few of Senator Buckley's opening comments to ascertain why FERPA was drafted and enacted. Buckley argued that FERPA was introduced due to "the growing evidence of the abuse of student records across the nation" (121 Cong. Rec. S7974, p. 11.1881), though some (Shurden & Shurden, 2010; Warwick, 2005) also consider Cold War-era suspicions of government wiretapping and surveillance to contributed to the ripening of the social and political atmosphere leading up to FERPA's passing. White (2013) argues that across a storied history FERPA the U.S. Department of Education has provided clear guidance about FERPA and the sixteen exemptions afforded under the law. White describes the "heart [of FERPA as] this easy-to-state but highly restrictive rule: A college or university cannot disclose an education record unless either the student who is identified in the record consents

in writing to the disclosure or [the] disclosure is warranted without consent under a specific FERPA exemption to the consent requirement” (para. 5). These sixteen exemptions include several exemptions which are logical, such as the exemption FERPA provides for educators to share information about students when there is a legitimate educational interest, such as faculty reporting grades to a Registrar’s office or student affairs staff sharing information about student behaviors with other campus officials. White highlights more contentious aspects of FERPA, such as recent changes that the No Child Left Behind Act of 2001 made allowing a FERPA exemption to written consent for the sharing of student disciplinary records between institutions when a student intends to transfer to another institution. Nonetheless, White reiterates that FERPA has enjoyed stable footing as the primary act cited in regards to higher education educational information and clear guidelines offered by the U.S. Department of Education. [For a full listing of FERPA exemptions and its legislative history, see U.S. Department of Education (2004)].

In the years since its enactment, FERPA has mistakenly come to represent a federal directive that prevents any and all sharing of student records and information. Overzealous applications of FERPA do indeed maintain that student records should be treated as “top secret,” viewable only by a select few administrators holding the highest levels of “clearance.” Although student data have been implicated in the September 11, 2011 (Doumani, 2006) attacks and campus shootings at Virginia Tech and Northern Illinois (Chapman,

2009), the limited use and uncoordinated sharing of information—not the mere existence of data—are what have traditionally been questioned following such crisis events. Limited, stringent readings of FERPA neglect the “legitimate educational interests” (See FERPA § 99.36 b 3) or the 15 other exemptions meant to provide a framework for educators to clause of FERPA and stifle the channels of communication that could otherwise prevent threatening student behavior. Congress has amended FERPA a total of ten times over the last thirty-eight years since its enactment (U.S. Department of Education, 2004). Each amendment has been conducted as a result of new social developments, policy revisions for pedagogically necessary activities, or in an effort to support new developments in social or educational venues. Although, it should be noted that most FERPA amendments have been in response to new threats in campus security and safety. In particular, the 2009 amendments, following the student shootings at Virginia Tech, underscore the freedoms educators have in communicating with other educators about potentially hazardous student actions. Specific language in FERPA was edited to highlight the fact that FERPA does not prevent the sharing of information between educators with a legitimate right to know or in light of a foreseeable danger. [For a more thorough review of FERPA’s history see O’Donnell (2003), U.S. Department of Education (2004), or White (2013)].

There are, however, additional acts that either further embellish FERPA or stand alone as their own legislative efforts to rectify some societal condition. While FERPA is and will continue to be the primary

touchstone for how colleges and universities deal with student information and privacy matters, these acts also influence the limits of information and privacy management in higher education. At minimum the acts mandate new systems and policies which must be in place and should be continuously evaluated to ensure the institution's ability to prevent certain situations. We now address how these acts inform higher education information management and privacy policies and how institutional leaders can reframe and organize to meet the demands of these acts and other pressures on higher education.

Higher Education Opportunity Act of 2008

The Higher Education Opportunity Act of 2008 enacted sweeping changes to Title IX funded programs, Perkins Loans, the Free Application for Federal Student Aid (FAFSA), and the Integrated Postsecondary Education Data System. The 2008 act was a reauthorization of the Higher Education Act of 1965 and focuses on many specific details related to college cost, financial aid, and reporting measures. These changes have been detailed by several professional organizations (Council for Higher Education Accreditation, 2008; EdFund Government Relations and Regulatory Analysis Unit, 2008). The lengthy bill makes far reaching, highly specific changes to various areas of financial aid and institutional reporting. For example, the act requires the creation of a net college price calculator and a new metric called Expected Family Contribution, derived from data on the FAFSA. Institutional research and reporting offices must now report such data in new processes. Another

section (Part C of Title 1 section 132) requires colleges and universities to report on the costs of textbooks and whether course materials have been bundled together to save costs. Exhaustive changes to increase grants and scholarships are noted. One section discusses how external lenders and banks can be disqualified from participating in federal financial aid programs if they lure students with specific kinds of incentives. This list is by no means exhaustive and a more thorough analysis is offered by the EdFund Government Relations and Regulatory Analysis Unit (2008).

However, despite its considerable length and detail, the Higher Education Opportunity Act of 2008 turned considerable attention toward external organizations and agencies that support higher education institutions (i.e. the U.S. Department of Education, lenders). Nowhere have the effects of the 2008 act been felt more heavily than in institutional research and financial aid offices. New reporting efforts and new questions on the FAFSA have necessitated the training of staff and new timelines for institutional reporting. Nonetheless, institutions, for the most part, have fully complied with the new demands from these 2008 changes (Smith, Robb, West, Tyler, 2010). Those that have not continue to face a variety of deadlines that have either recently passed or have yet to pass (See for example section 435 (m) of Title I of the act). Despite being nearly five years old, the Higher Education Opportunity Act of 2008 has only recently seen many of these programs come into existence, due in part to a lengthy process of negotiated rule making following the act's passage. Institutional research and financial aid officers will

likely continue to adjust to these new regulations as deadlines for full implementation of the act's numerous programs come to pass.

Health Insurance Portability and Accountability Act of 1996

The Health Insurance Portability and Accountability Act (HIPAA) was aimed to ensure security of information collected through medical procedures and to preserve the confidentiality of the doctor-patient relationship. Almost immediately, higher education campus health administrators recognized that there would be implications of HIPAA in higher education. HIPAA, in its traditional sense, is certainly applicable to the administration of campus health centers and hospitals. The act delineates a variety of *covered entities* such as hospitals, health research labs, and treatment facilities, many of which are present on the modern university campus. HIPAA also specifies a variety of *business associates* operating in close connection with covered entities. Business associates are defined as persons or entities having access to protected health information resulting from the relationship with a covered healthcare entity. Examples of such business associates include billing departments, accounting agencies, psychological services, or research organizations. Moreover, nothing about being a college or university preempts or precludes HIPAA's provisions and securities outlined for medical transactions.

There are, however, specific contexts unique to a college campus that make the provisions and expectations outlined by HIPAA all the more salient for higher education administrators. First, HIPAA

governs not only the conditions under which the release of medical information to an external entity can occur, but also the internal measures of privacy of medical information. FERPA, on the other hand, is concerned with the release of student information and it is this act of releasing information that triggers FERPA standards. Second, student affairs staff—especially health and wellness services, residence life personnel, and campus security officers—come in regularly contact with sensitive medical information during the course of their natural interactions with students. These dealings include pregnancies, alcohol or drug use, learning, emotional, or physical disabilities, sexual assaults, suicidal ideation or attempts, and injuries. These staff members may not be as familiar with HIPAA as health care professionals working in student health centers even though HIPAA may still apply to many of the situations they routinely address. The aforementioned scenarios highlight prevalent student issues faced by student affairs staff on a regular basis (Schuh, Jones, & Harper, 2011, Magolda & Baxter-Magolda, 2011). HIPAA applies to any patient-identifiable information that is stored or transmitted and these situations undoubtedly generate sensitive medical information which student affairs staff are, by both policy and practice, accustomed to treating both with the confidentiality and respect it is due. However, the U.S. Health and Human Services Offices has determined that those records not covered by HIPAA may be covered by FERPA as a matter of student record and that as soon as a medical record is used or seen by anyone other than a health professional, it must be considered an

education record subject to FERPA (Goldsmith, 2001). While HIPAA was designed for traditional health professionals and the business associates, we suggest all college staff are usually bound to the protections afforded under either FERPA or HIPAA depending on contexts. Goldsmith (2001) has outlined many of the basic ramifications of HIPAA for higher education and has noted that most deadlines for compliance have passed. Though no changes to HIPAA are expected, recent health care legislation may initiate changes which also influence how higher education deals with student medical and quasi-medical information.

Communications Assistance for Law Enforcement Act of 1994

Whereas HIPAA is a policy assuring an ideal of confidentiality and security, the Communications Assistance for Law Enforcement Act (CALEA) aims to ease access to private conversations for federal law enforcement and intelligence agencies. In 1994, CALEA established financial support for telecommunication providers to upgrade their equipment to allow for the more efficient and accessible wiretapping and surveillance access for federal agencies. Telecommunication providers were to include new technologies that allow federal security agencies to monitor telephone, broadband, and voice over internet protocols (VOIP) in real time. CALEA was originally interpreted to apply only to traditional telecommunication corporations using both phone lines and the internet. These connections were to be upgraded for easier access by 2007 when funds for the upgrades were set to expire.

However, in 2006, CALEA was expanded to include internal telecommunication networks of many non-corporate entities, including colleges and universities. VOIP and internet systems within colleges and universities had to be upgraded by May 14, 2007 to be fully compliant with CALEA. Given the coinciding, historic reduction of state support for higher education (Griffiths, 1999; Toutkoushian, 2001), the intensive, campus-wide upgrades to telecommunication systems were delayed as they were cost-prohibitive for many higher education institutions. Moreover, many faculty, staff, and administrators expressed concern over the security of potentially sensitive conversations, information, research, or patents (Warwick, 2005). Many believed the potentially sensitive nature of student-faculty, student-administrator, or faculty-administrator conversations are easily undermined if perceived or actual threats to confidentiality and privacy are present. Of particular importance to many faculty were legitimate concerns for research ideas and innovations that are not secure even from the moment they are conceived (Warwick, 2005).

These and other concerns were paramount in a request from the Department of Justice for additional rule-making and clarification concerning specific details of CALEA and its scope. However, there were no significant changes to CALEA through this process. The fear of government encroachment and surveillance of higher education led the American Council on Education to file a lawsuit against the Federal Communications Commission seeking an injunction against the federal government's surveillance of higher

education (See *American Council on Education vs. FCC*). The lawsuit was argued on the grounds that CALEA undermines the general tenor of academic freedom necessary to produce an educated citizenry. In 2006, the U.S. Court of Appeals upheld the summary judgment, finding that higher education was indeed subject to the provisions of the CALEA. However, it provided points of clarification that allow higher education institutions to be exempt from CALEA standards. An institution may be exempt from CALEA if their network is considered a private network and the institution does not support the of this private network to the internet. Higher education institutions were given until May 14, 2007 (then 18 months) to ensure that their telecommunication systems that do not fall within these parameters are compatible with federal surveillance systems.

Considerable attention is still paid to CALEA and other telecommunication surveillance laws such as the USA PATRIOT Act of 2001 and the Telecommunication Act of 1996 primarily on the grounds that they represent significant perceived intrusions on academic freedom and autonomy. Proponents of CALEA are quick to note that the main targets of CALEA—internet and VOIP systems—were not widely deployed across the nation’s institutions in 2007 and new, compliant systems could be built as these technologies spread. Additionally, CALEA proponents often advocate that CALEA does not mandate the act of surveillance, but makes surveillance more easily achievable through the use of more modern technology. Such proponents argue that individual protections and due process rights are still

unaffected by CALEA unless in instances where time is critical to action for national or local security. In such situations, non-compliant telecommunication systems may hinder security efforts considerably.

In contrast, CALEA opponents argue that the mere preparation for easier wiretapping is a violation of civil liberties and the venerated practice of academic freedom in higher education. Opponents also point to brewing concerns over two party consent laws in twelve states where such rights are extended by matter of state law [See 18 U.S.C. §2511(d)]. As CALEA does not mandate the use of wiretapping, it makes no firm policy regarding consent. Instead, current campus telecommunications security measures are governed by the USA PATRIOT Act of 2001 which is widely deemed inconsiderate to the foundations of informed consent and confidentiality held in high regard in higher education (Doumani, 2006; Warwick, 2005). Further clarification on these discrepancies is necessary and may come about through additional legal cases pushing these issues in judicial arenas.

Red Flags Rule

In 2003, the Federal Trade Commission (FTC) heralded the passing of the Fair and Accurate Credit Transactions (FACTA) Act of 2003. FACTA was intended to allow consumers greater access to specific financial indicators (such as credit scores) and increase security in light of concerns over identity theft. Section 114 established the Red Flags Rule, a part of FACTA which requires creditors to implement systems that provide early notifications if odd financial transactions are

observed. The Red Flags Rule requires four basic elements for compliance: 1) Identify red flags, 2) Detect red flags, 3) Prevent identify theft, and 4) Evaluate and update your program [See Public Law 108-159, 15 U.S.C. §1681]. However, almost from its inception, higher education information managers argued that the Red Flags Rule does not apply to higher education. FACTA was clear to outline that the Rule applies to creditors; that is, organizations that offer lines of credit or businesses that provide services which they bill for later payment usually through invoicing. Because of the practice of tuition and fees being collected in installments and often after classes have begun, higher education institutions are often viewed as creditors under FACTA's definition.

What then are the ramifications of the Red Flags Rule for higher education? The National Association of College and University Business Officers (2012) established realistic guidelines for colleges and universities to use while implementing the four basic elements of the Red Flags Rule. The Rule is even further expanded upon to also list 26 additional and different potential actions for consideration while identifying red flags. However, the Red Flags rule does not mandate specific red flags to establish and instead delegates much of the task and authority for such choices to the creditor organizations. Higher education information managers, bursars, financial aid officials, and other campus leaders have considerable freedom to develop a comprehensive yet manageable list of suspicious activities that could help prevent identity theft. Given this freedom, higher education institutions need not be held to the same standard

or model as the financial institutions. Instead, a more efficacious approach would be to craft a system of identifying potential identity theft in the context of higher education information. Such systems would allow for the most realistic plan a model that is most likely to prevent identity theft and will be specifically tailored to the institution's specific environment. Such models must take into account the amount and forms of computing and information conveyance that occur in a college student's experience, the types and timing of financial transactions, and the development stage in which many college students find themselves.

USA PATRIOT Act of 2001

The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act) was passed in October 2001 in response to the events of September 11, 2001. While the USA PATRIOT Act significantly expands the reach of both intelligence and law enforcement agencies it also raises concerns over privacy and confidentiality. There are also a number of very important implications to higher education worth noting and much has been written about these implications for higher education institutions (Doumani, 2006; Jaeger, McClure, Bertot, & Snead, 2004; Kaplin & Lee, 2007; Shurden & Shurden, 2005; Warwick, 2005). The USA PATRIOT Act enacted changes to research in scientific fields, the monitoring of international students, granted the release of student information, altered how institutional computer systems operate and changed the record-keeping policies of academic libraries (Kaplin & Lee, pp.

1330-1331). While the USA PATRIOT Act, especially Title II, is specifically aimed at allowing information to be more quickly and easily obtained, institutions of higher education still have an obligation to protect student information.

There have been three revisions and reauthorizations of the USA PATRIOT Act since its enactment in 2001. Most importantly in 2006, when all of the USA PATRIOT Act sections were set to expire, Congress passed the USA PATRIOT Improvement and Reauthorization Act of 2005 which made all but two of the expiring sections permanent. The two non-permanent sections, sections 206 and 215, were extended with the most recent reauthorization in 2011. The USA PATRIOT Act also ratified a number of other changes to existing acts, including changes to the Family Educational Rights and Privacy Act of 1974 (FERPA). FERPA was amended to “allow the U.S. Department of Justice to seek a court order for student records without requiring student or parental consent, and without a mandate that educational institutions keep a record of such requests” (Warwick, 2005, p. 575). This is particularly pertinent to higher education information managers who now receive increased numbers of requests for information from law enforcement and intelligence agencies. Because many institutions are not required to record how many requests they have received, it makes knowing exactly how many requests or how frequently they have occurred since 2001 extremely difficult. Nonetheless, anyone involved in the information management aspects of higher education can attest to the challenges in setting up

and maintaining systems to respond to critical information

Furthermore, the USA PATRIOT Act has made it more difficult for international students and professors to receive student/work visas because of increased documentation and review procedures. Namely, the changes enacted in the creation of the Student Exchange Visitor Information System (SEVIS), an electronic tracking system for all nonimmigrant foreign students taking part in foreign exchange programs. Interestingly, Title IV of the USA PATRIOT Act notes that FERPA regulations and protections do not apply to any information collected under SEVIS. However, for an institution to maintain its acceptance of foreign students under the USA PATRIOT Act, it must participate and follow all SEVIS regulations. It falls upon the Designated School Official (DSO) of the institution to collect, maintain and report all student information to SEVIS for all of its foreign students. [For more information on SEVIS reporting requirements and duties of a DSO please see Immigration and Customs Enforcement (2005) or American Association of University Professors (2003) in *References* below].

Perhaps the most controversial impact higher education institutions face under the USA PATRIOT Act is the ability of government agencies to obtain the records and/or behavior of academic library visitors. The USA PATRIOT Act amended the Foreign Intelligence Surveillance Act (FISA) and the Electronic Communications Privacy Act (ECPA) to allow the acquisition of electronic communication, records or any tangible items for any authorized investigation. If the institution’s network cannot

adequately monitor library visitor's behaviors or records then additional hardware or software must be installed on the university network. University libraries have had to adjust their data collection and tracking capabilities to include additional information on "books, records, papers, documents, and other items" (USA PATRIOT Act, 2001, section 501 a.1.) its visitors use that may not have been tracked beforehand. The USA PATRIOT Act continues to be source of tension and debate between accessibility, compliance and privacy advocates (American Library Association Office for Intellectual Freedom, 2005).

The requests for information and tension between government access and institutional privacy will rise during times of a national crisis or international incidents. The freedom of inquiry and the open exchange of ideas are crucial to the nation's security, and that the nation's security and, ultimately, its well-being are damaged by practices that discourage and impair freedom (American Association of University Professors, 2003). However, government access to and reporting of potentially threatening plans and information can also avert national crises. The USA PATRIOT Act is particularly important to higher education information managers because a balance between public accessibility and compliance with governmental oversight are both required in order to ensure the protection of sensitive data. The changes brought about by the USA PATRIOT act have altered the way some institutions collect and store their data on their students.

The USA PATRIOT Act has changed the way higher education information managers perceive

data accessibility and security and has significantly impacted the type and amount of data that institutions of higher education collect. Higher Education information managers need to be aware of not only how the USA PATRIOT Act will affect the way they approach institutional data but also must stay attentive for any additional policy changes that occur. Ultimately, higher education leaders should work to find a healthy balance between policies complying with government mandates for more accessible information and a philosophy highlighting the confidentiality and security of student information.

Implications for Practice

The aforementioned acts do not supplant the guidelines offered in FERPA, which will likely continue to be the primary act lawyers cite in most issues of campus information management. Despite relatively clear guidance from Washington, much confusion and contention still exists over FERPA. Therefore, information managers uphold the specific expectations of confidentiality and security outlined in FERPA when handling student records yet also consider the aforementioned acts among others. Establishing formal data centers, limiting access to highly sensitive data, and training staff on the proper educational usage and sharing of student data are some key practices that many information managers have found effective in explaining the importance of FERPA regulations to campus constituents (Kaufman, 2012; O' Donnell, 2003).

These acts provide a greater understanding of the situation that institutions of higher education

are encountering beyond the standard FERPA violations. These act's also help to provide greater insight for university data managers as to how to comply with the many regulations they are faced with currently and will encounter in the future. Ever increasingly, institutions of higher education are forced to operate primarily as centers of learning, but partially as hospitals, research centers, hotels, restaurants, transportation hubs, disciplinarians, lobbying forces, psychiatrists, financial investors, and, overall, stewards of social good. This multitude of diverse functions carries with it a vast myriad of legal ramifications. Cutting across this variety of institutional efforts is the management of information, which is both fundamental and essential to all functions of a modern university. While information is critical to the efficient functioning of the institution, the prevalence of information also creates legitimate challenges to information security, such as the duplication of processes, questions of division of labor and information access, structural concerns, issues of authority and locus of control are all legitimate concerns for the institution. Within the given context of any institution, campus leaders must establish processes wherein leaders will oversee the advancement of security concerns as a fundamental and essential institutional commitment while also meeting demands for information as an avenue to institutional effectiveness and solvency.

Together with FERPA, the aforementioned acts depict a clear foundation from which to treat student information. First, and as a minimal standard, information and technology resource

managers should ensure that computer systems, networks and hardware are as protected as feasibly possible against breeches of information security and identity theft. Any number of Federal acts and state laws cover such actions. More importantly, how an institutional community and its leaders respond to these acts are indicators of the commitments the institution upholds to their students, faculty, staff, and society in the learning enterprise. All of the aforementioned acts and FERPA are essentially legally-founded commitments to secure student data and to treat data with the integrity and respect they deserve. Without these basic commitments, information will neither be used to its fullest nor will it support institutional learning missions and goals. A violation of these agreements will likely serve as sufficient grounds for legal action, itself an attempt to heighten institutional commitments to data security. If presented with breaches of security, information managers have an opportunity to model a commitment to the institutional learning mission. A mistake or a lack of innovative prevention presents opportunities to assess situations, learn from experience and improve systems. Organizational learning and improvement are often mandated by these acts but can also be useful in preventing some legal proceedings all together. Innovative approaches to protecting student information, evaluating and learning from security breaches, and staying abreast of new threats to information security are paramount in any information manager's repertoire of skills.

Prevention of campus security breaches is aided by a thorough consideration of the limits of

institutional data access and availability. In order to inform institutional decision making, data must be maintained in public or quasi-public stores so as to provide access to key stakeholders. The first limit to be placed on data should be to restrict user access to the minimal level required of their institutional needs, thus allowing units on campus to fully contribute to institutional success without a fear of open access. We have seen many campus leaders request access to large stores of data only to use one or two elements and only for a limited time. Unless necessary for longitudinal research or accountability efforts, student records and other data should be archived securely and regularly to limit access to unnecessary data. Once data can no longer provide a use, access should be knowingly withdrawn. By implementing more thorough evaluations of institutional data management and security policies, institutions can live out their commitment to students and the ideals of privacy and security which is a common tenor sung by all of these acts.

Finally, campus leaders, faculty, and staff facing critical information management situations are often plagued by one or more of these three challenges in crafting a response: a) Having no prior knowledge of legal guidelines pertaining to campus information, b) Unawareness or inability to see a rule as applying to their institutions, or c) Getting sidetracked with other responsibilities (National Association of College and University Budget Officers, 2012; O'Donnell, 2012). Campus information managers should actively guard their time to allow for professional growth opportunities to stay abreast of new developments, and their best

practices in responses to campus security breaches. Campus information managers should confer with colleagues and other professionals in order to discuss critical issues and how best to spur innovation. Often this is easier said than done. However, by relying on campus and professional colleagues, information managers can remain current in their field and can strategize about ways to respond to legal pressures and ethical commitments.

Conclusion

While FERPA will continue to be the luminary act guiding the manner in which higher education deals with student information. However, the aforementioned acts also reinforce the actions higher education information managers should take to avert crisis situations, secure data, while also ensuring data are appropriately shared when needed. Beyond complying with federal mandates, these acts position higher education institutions to best respond to critical challenges to data security. Translating these acts into institutional policies and practices serves the complex needs of today's students. By adopting a perspective of these acts as a mixture of guidance and mandate, institutional leaders ensure the these acts are as meaningful as possible for institutions and students.

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THE CHALLENGE OF ESTABLISHING PRIVATE HIGHER EDUCATION INSTITUTIONS IN NIGERIA

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All over the world, higher or tertiary education is regarded as an important level in the education system. The role of higher education is so crucial to the extent that both public and private sectors depend on the various institutions of higher learning to produce the needed high level manpower for the sectors. Higher education is seen as a major driver of economic development as well as technological advancement. Thus, according to Sampson (2004), higher education has the capacity, knowledge and necessary research that are needed to achieve positive innovations and productivity.

As a matter of fact, higher institutions are designed to create a quality workforce by growing, training and attracting finest talent, support current business and industry, improve learning and teaching from pre- school through graduate school, take strong and visible roles in regional initiatives, disseminate research, as well as

promote technology transfer and enhance the technology infrastructure (Myamoto, 2003).

Higher education is therefore central to economic and political development and vital to competitiveness in an increasingly globalizing society, (Materu, 2007). In the case of Africa, higher education plays a critical capacity building and professional training role in support of all the Millennium Development Goals (MDGs). Higher education institutions educate people in a wide range of disciplines which are key to the achievement of MDGs. These include the wide areas of health, agriculture, science and technology, engineering, social sciences and research. In addition, they contribute, through research and advisory services, to shaping national and international policies. Recent research findings indicate that expanding tertiary education may promote faster technological development and improve a country's ability to maximize its

economic output (Bloom, Canning & Chan, 2006). Higher education plays a key role in supporting other levels of education. According to Hanushek and Wossmann (2007), this ranges from the production of teachers for secondary and other tertiary institutions, to the training of managers of education and conducting research aimed at improving the sector. Another study by Ramcharan (2004) revealed that the presence of tertiary-educated workers in the workplace raises the productivity of medium-skill workers. Thus, tertiary education contributes to social and economic development through four major missions. These are:

- The formation of human capital (primarily through teaching);
- The building of knowledge bases (primarily through knowledge development);
- The dissemination and use of knowledge (primarily through interactions with knowledge users) and
- The maintenance of knowledge (inter-generational storage and transmission of knowledge (OECD, 2008).

Even in India, research shows that there is high correlation between higher education and development. The study of Tilak (2007) reveals that higher education:

- Enhances the earnings of individuals and contributes to economic development;
- Makes a significant contribution to reduction in absolute as well as relative poverty;
- Is related to human development indicators which reflect other dimensions of human

poverty, as it significantly reduces infant mortality and increases life expectancy.

In Nigeria, higher education is regarded as a significant aspect of the education sector. The Federal Republic of Nigeria (2004) defines tertiary or higher education *as the education given after secondary education in universities, colleges of education, polytechnics, monotechnics, including those institutions offering correspondence courses* (p.36). Also, the Association of African Universities (AAU) working group on higher education also observes that higher education should include tertiary educational institutions other than universities. In addition, the African Union (AU) meeting of experts, described higher education as including all post secondary education, including universities, polytechnics, teacher training institutions, distance education centers, resource centers and institutes, with the possibility of expanding to include other forms post secondary education.

The goals of higher education in Nigeria are to: (a) Contribute to national development through high level relevant manpower training; (b) Develop and inculcate proper values for the survival of the individual and society; (c) Develop the intellectual capability of individuals to understand and appreciate their local and external environments; (d) Acquire both physical and intellectual skills which will enable individuals to be self-reliant and useful members of the society; (e) Promote and encourage scholarship and community service; (f) Forge and cement national unity; and (g) Promote national and international understanding and interaction, (p.36).

Higher education in Nigeria had governmentally-sponsored origins. The first tertiary institution, The Yaba Higher College was established by the British colonial government in 1932. According to Taiwo (1980), the College offered professional courses in areas like medicine, engineering, teacher training, surveying and agriculture. It remained the only tertiary institution until 1948, when the same colonial government established the University College, Ibadan, as an affiliate of the University of London. After independence in 1960, government continue to dominate higher education in the sense that only federal and state governments were permitted by law to establish institutions of higher learning. As a matter of fact, during the military period (1966 to 1979), only the federal government was allowed to establish universities. However, during the second republic (1979 to 1983), the constitution placed education (including higher education) under the concurrent legislative list. This allowed both federal and state governments to establish higher institutions. This situation continues under the current dispensation. Section 28 of Part II of the 1999 constitution of the Federal republic of Nigeria states that institutions of higher learning could be established by both federal and state governments.

Evolution of Private Higher Institutions in Nigeria

Prior to the second republic (1979 to 1983), all universities in Nigeria were owned solely by both federal and state governments. However, during the second republic, attempts were made

by some individuals and organisations to establish private universities. Initially declared illegal by the then government, Ajayi (1990) reported that private universities were given a legal backing by the Supreme Court judgment of 30 March 1983, in favor of the Imo Technical University founded by Dr Basil Ukaegbu. When the military came to power in December 1983, all private universities were proscribed. However, Arikewuyo (2004) reported that the same military government later gave a legalized the establishment of private higher institutions with the promulgation of Education (National Minimum Standard and Establishment of Institutions Amendment) Decree No.9 of 1993. The Decree allows individuals and organizations to establish private universities, polytechnics and colleges of education in the country. Thus, on 10 May, 1999, three private universities were licensed by the military government. They were: Babcock University; Igbinedion University and Madonna University.

Since then, many private universities, polytechnics and colleges of education have been established in Nigeria. Thus, as at October, 2012, there were fifty approved private universities, eighteen private polytechnics and four private colleges of education in Nigeria.

Requirements for the Establishment of Private Higher Education Institutions in Nigeria.

According to the National Universities Commission (NUC), the following are the requirements for the establishment of a private university in Nigeria. Specifically, the criteria for

the setting up of a private university, for instance are as follows:

- Application in writing, addressed in writing to the Executive Secretary stating the intent for the establishment of the university;
- One million naira bank draft in favour of NUC for ten(10) copies of Application form;
- Five million naira bank draft in favour of NUC for processing of the application
- Academic brief;
- Physical master plan;
- Counterpart of Deed of Assignment;
- Certificate of Incorporation/Registration of Proprietors;
- Deed of Assignment/ Certificate of Occupancy;
- University Law;
- Letter of Available liquid cash; and
- Bank guarantee of funds to the tune of two hundred million naira from reputable banks.

In the case of a private polytechnic, the following are the requirements:

- Application form (obtainable at the National Board for Technical Education, NBTE,Kaduna)
- Master plan
- Academic plan
- Needs Assessment/Feasibility survey
- Fifty hectares of land in the name of the institution
- One hundred million naira bank guarantee
- Certificate of occupancy in the name of the institution
- Financial plan

In the case of a private college of education, the criteria for the establishment are:

- Application form (obtainable at the National Commission for Colleges of Education)
- Master plan
- Academic plan
- Needs Assessment/Feasibility survey
- Twenty-five hectares of land in the name of the institution
- Fifty million naira bank guarantee
- Certificate of occupancy in the name of the institution
- Financial plan

It must however be noted that prospective proprietors do not just obtain and submit application forms to the appropriate regulatory agency, certain steps are also involved before the final approval is given. For instance, for a private university, there is a Standing Committee on Private Universities (SCOPU), which is specifically set up within the National Universities Commission (NUC), for that purpose.

Specifically, a prospective operator is expected to apply in writing to the Executive Secretary of the NUC stating the intent for the establishment of the university. This should also include the name, location, as well as the vision and mission of the proposed university, etc. The proprietor(s) will then collect the necessary documents and guidelines from the NUC. This will be followed by the submission of the application forms with the necessary documents, such as the draft academic brief, draft physical master plan, draft university law, certificate of registration or registration of proprietors, certificate of occupancy, letter of available liquid cash and bank guarantee of funds to the tune of two hundred

million naira. There will then be an interactive meeting of SCOPU with the proposed university. Here, the SCOPU invites members of the planning and implementation committee of the proposed university to the NUC for an interactive meeting as a prelude to the first verification visit to the site of the university. During the meeting, all issues relating to documentation and university governance are vividly discussed with the proposed university. The meeting also affords the university to interact with the Executive Secretary of the NUC for words of advice and encouragement.

Next, all the documents submitted to the NUC are forwarded to the relevant departments of the NUC for necessary analysis. For instance, the Academic brief and master plan are forwarded to the department of Academic Standards for verification. The legal documents such as the university law, counterpart deed of assignment, certificate of incorporation and certificate of occupancy are forwarded to the Legal Unit of the Executive Secretary's office for further verification. The SCOPU later undertakes the first verification visit to the site of the proposed university. During the visit, all physical facilities on ground will be inspected in order to determine their adequacy for the proposed Colleges and Faculties in the first phase of the university. The second verification visit will involve among other things, the review of other documents as well as the determination of the availability of the required liquidity cash and bank guarantee of fund to the tune of 200 million naira.

The SCOPU will thereafter undertake a security screening of the Proprietors and members of the Board of Trustees of the proposed university. This is done with a view to determining the credibility of those who are sponsoring the university project and to ensure that they are not persons of questionable character. The SCOPU, based on all these information, will then write a comprehensive report, with scores to the NUC Management for its consideration and further necessary action. The NUC Management will consider the report and make appropriate recommendations to the University Development Committee (UDC) of the NUC Board. The Board thereafter forwards its recommendation to the Federal Government through the Honorable Minister of Education.

The Federal Executive Council will then consider the recommendations of the NUC Board as well as the security report on the sponsors of the university. If eventually approved by the Federal Executive Council, a provisional licence will be issued to the Proprietor. A substantive licence will however be given to the Proprietor after a satisfactory performance during the probation period.

Both the National Board for Technical Education (NBTE), which is the regulatory body for polytechnics and the National Commission for Colleges of Education (NCCE), which regulates colleges of education in Nigeria, also undertake various procedures before granting licenses to concerned private higher institutions.

Challenges of Establishing Private Higher Education Institutions in Nigeria.

There is no doubt about the fact that many challenges are involved in the establishment of private higher institutions in Nigeria, whether it is a university, polytechnic or college of education. From all indications, the setting up a quality private higher institution is a herculean task that could not be single handedly done by the Proprietors or sponsors. From the various requirements that are highlighted above, it is clear that setting up a credible institution must involve many professionals, such as legal practitioners, academics, community leaders (where the institution will be sited), medical doctors, surveyors and town planners, the banking sector, etc. Each of these professionals certainly has a lot of contributions to make to the success of the institution.

The first challenge in the establishment of private higher institutions is for the Proprietors and Sponsors to set up a functional Planning and Implementation Committee (PIC) that will oversee the projects, contacts and other affairs relating to the institution. However, the challenge here is that the Committee must be made of competent and credible personalities, who understand the principles of higher institutions. The members must be men and women, who are conversant with the precepts of higher institutions and are not just appointed on political, cultural or religious affiliation.

In addition, the writing of the academic brief of the institution poses another challenge to the Proprietor. From the academic brief of the Federal

University, Ndufu-Alike Ikwo (2011), an academic brief is a document, which states in details, all information about the proposed university. It contains among other things, the name, motto and logo of the institution; the mission, philosophy and objectives of the institution; academic and service units; pattern of growth; financial analysis; performance audit; etc. Thus, the writing of an academic brief is a challenge. The task must be done by those who possess the skill.

The institution must be backed by law. To that extent, the writing of the law of the institution is a challenge that must be addressed. The Law must be written and made clear in an unambiguous manner. It specifies among other things, the functions and composition of the various organs of the institution, as well as the regulations governing the appointment, promotion and discipline of staff, among others.

Another major challenge is securing the required hectares of land. According to the various regulatory agencies, a private university must have a minimum of one hundred hectares of land, fifty hectares for a polytechnic and twenty five hectares of land for a college of education. However, it is not just enough to acquire the land, it is also mandatory to for the Proprietors to secure the necessary certificate of occupancy and deed of assignment. This is very important especially in a country, where many cases on land matters are bound in courts. Perhaps the greatest challenge of the establishment of private institutions of higher learning in Nigeria is finance. The financing of education has over the years been a major setback

for the development of the education sector in the country. Indeed, Arikewuyo (2010) reported that the issue of funding of education in Nigeria has generated a lot of controversies, debates and discussions among Nigerians, such as parents, teachers, students, labor unions and international agencies. For instance, the United Nations Educational Scientific and Cultural Organization (UNESCO) (2000) in a report on the state of education in Nigeria indicated that expenditure on education when compared with overall annual budget has been grossly inadequate. Furthermore, Fagbamiye (2003) observed that while Lesotho spends 25.5 percent of its annual budget on education; South Africa spends 24 percent of its annual budget on education and Namibia spends 22.5 percent of its annual budget on education, Nigeria spends an average of 9.9 percent of its annual budget on education. Another study conducted by Odebiyi and Aina (1999) for the Association of African Universities revealed that one of the major problems facing Nigerian universities is underfunding, occasioned by dwindling revenue.

Consequently, the constraints on operators of private higher institutions in the area of finance are of two fold. The first is how to secure the bank guarantee funds of 200 million naira for a university, 100 million naira for a polytechnic or 50 million naira for a college of education. No doubt, this poses a serious challenge because the banks would be wary of the viability of the institutions before guaranteeing such funds. The second financial constraint is how to secure the huge fund that will be needed to commence various projects.

This is why Arikewuyo (2010) concluded that adequate fund is needed in order to improve quality in the education system. This is because the provision of instructional facilities; building of classrooms, libraries and laboratories; provision of recreational facilities and prompt payment of staff salaries and emoluments, etc, could only be done, if the sector is effectively funded.

The challenge of funding made the Committee of Vice Chancellors and Registrars of private universities in Nigeria to appeal to the federal government to assist in the funding of private universities. The Committee also argued that since all citizens pay taxes to the government, private universities should also benefit from the Education Tax Fund (Punch newspaper, 12 August, 2012).

Conclusion

Private institutions of learning exist in many countries of the world. In the opinion of the International Institute for Educational Planning (IIEP) (2003), private education is a reality and its impact is growing around the world together with globalization, in particular at non-compulsory levels- pre-school, tertiary and postgraduate. Even in Africa, private higher institutions have existed in some other countries before Nigeria. However, operators and Proprietors of private higher institutions must identify those challenges that are likely to arise before applying to the controlling agencies. The inability of some Operators to overcome these challenges made the National Universities Commission (NUC) to suspend the operational licences of seven private universities in April, 2012. The universities were accused of:

unwillingness to comply with NUC regulations;
 inappropriate governance structure and ethos;
 poor management of academic activities; general
 poor learning environment and mismanagement
 of students' examination records.
 Prospective operators of private higher institutions
 must therefore be ready to ensure quality before
 establishing the institutions.

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A “BIG MAC” INDEX FOR ACADEMICS

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In 1986 The Economist magazine debuted their ‘Big Mac’ index, a sharp insight on the relative valuation of currencies [1]. The index takes the price of a Big Mac in the local currency where it is bought, converts this price using current exchange rates and divides by the price of a Big Mac in US dollars (preferably one from Pittsburgh.) This yields an implied under- or overvaluation of the two currencies from a purchasing power parity viewpoint. The object of this note is to get a quick measure of academic significance in the style of the Big Mac index, and may be viewed as an attempt to quantify the sentiment so aptly expressed by my colleague Robert Woodrow in the phrase “there are papers, and *then there are papers.*” (Note: To properly work this phrase, it must be said with sufficient gravitas on the italic portion.) The measure is called the significant influence index, or SI index for short.

You compute your SI index as follows. For each of your scholarly publications, you divide the number of citations by 100, take the floor of this number, and then sum over all of your

publications. For example, if you have one paper with 273 citations, another with 112 citations, and all the rest of your publications have no more than 99 citations, your SI index is three. More precisely, this is the weak form of the index. The strong form of the index also divides by the number of authors of the work. Thus, in the previous example, if in the work with 273 citations you had a single coauthor, and the same coauthor in the paper with 112 citations, your strong SI index would be one. Two versions of the index are called for as it seems that there is a useful distinction to be made between the importance of a paper, and the amount of contribution you made to it.

This index has several useful qualities other than being susceptible to a quick mental computation after a glance at a Google scholar page or stroking your ego because you have a positive index. For example, the index is robust in the sense that it is hard to inflate your own index even if (heaven forbid) you are the sort of author who likes to quote your own work to the exclusion of others working in the field, as it is difficult to get

a paper with positive index contribution unless many others are also using your work. The divisor of 100 is admittedly arbitrary, but fixes the notion of significant at a level that is firm but not insurmountable. A further advantage of the index is that it takes no account of the prestige (or lack thereof) of the journal that a work was published in. This reflects the fact that the utility of a result is independent of where it was published.

A little reflection exposes some limitations of the index. In defense, I remind the reader of the purpose of this note. The Big Mac index makes no pretense in being a theory of exchange rates, but has the virtue of providing not only a sharp insight into currency values, but doing so in an admirably lighthearted manner.

Since scholars in disparate disciplines not only work differently but have varying notions of significance and usefulness, the problem arises as to how to devise a suitable number for a given area. Thus, a problem for discussion in the department lounge or cocktail parties: given that the appropriate divisor in mathematics is 100, what is the appropriate divisor in your discipline? From a cursory glance at citation data, it would appear that the appropriate divisor in medicine should be much larger than 100, perhaps even close to 1000, and in classics, significantly smaller, perhaps close to 50. At any rate, the author eagerly awaits hearing your best estimate of the divisor for your discipline.

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RATING PUBLIC COLLEGES AND UNIVERSITIES: PROCESS, PRACTICE, AND IMPLICATIONS FOR FINANCE, ADMINISTRATION, AND POLICY

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In late 2011 Standard & Poor's (S&P) took the unprecedented step of downgrading the United State's long-term sovereign credit-rating from its highest rating "AAA" to "AA+". In its concluding remarks S&P stated that it will maintain a negative outlook for future credit-ratings including the possibility of another downgrade to "AA" (S&P, 2011). In related action, the Federal government's higher credit rating was affirmed by Moody's and Fitch; however both suggested that based on political and economic instability, future downgrades were not out of the question (Brandimarte, 2011; Detrixhe, 2011). In this unpredictable atmosphere higher education institutions have not been immune to some of the same credit concerns facing the Federal government. In other words, public institutions now face many of the same questions regarding their creditworthiness, and sustainability.

For example, in May of 2011, Moody's (2011b) issued a special comment on the fiscal concerns being encountered by U.S. higher education institutions. S&P (2012) agreed that continued state budget cuts for both operating expenses and capital spending are likely to impact public higher education institutions' ratings negatively. The agency states (S&P 2012, p.1), "it remains unclear how higher education institutions will fare over the longer term in an environment characterized by lower state appropriations as a percentage of operating budgets, squeezed capital funding resources, and increased enrollment." The concerns raised by S&P and Moody's are not necessarily new concerns, however, under current political and economic conditions they have become much more pronounced.

Because public colleges and universities employ large amounts of debt for capital projects, the credit rating each maintains is highly important, especially for institutional budgets and financial management. The method by which institutions are rated is often unclear (Serna, Forthcoming). Therefore, this article outlines both the credit-ratings process and its implications for higher education management. To that end, the focus

in this analysis is upon on the long-term general obligation credit rating methodologies as outlined by Standard & Poor's (S&P, 2007) and Moody's² (2007, 2011a) for public colleges and universities in the U.S.³. Although there are currently three credit rating agencies, Moody's, S&P, and Fitch, the focus in this analysis is upon the former two. This is because both maintain a long credit-rating history for U.S. public higher education; Fitch's was also not included because after evaluating the criteria and processes of two of the three major credit rating agencies it became clear that the criteria differed little from one another. However, Fitch employs many if not all of the same criteria as its two competitors (see Fitch, 2012 for specific criteria). Additionally, the focus of this essay is upon public four-year colleges and universities. It does not consider community colleges or private higher education institutions; even if it certainly the case that many of the same rating criteria apply to these institutions as well (Moody's, 2007, 2010; S&P, 2007).

The article proceeds as follows: parts one and two provides a general overview of the operational processes that S&P and Moody's follow when developing credit ratings for public colleges and universities in the U.S. It explains how each characteristic is determined and measured in general terms. Because these first two sections are a primer on the rating process, those familiar with debt-issuance and methodologies can move onto subsequent sections. However, for those that are less familiar with this practice and operation, this primer will provide needed context for understanding the importance of credit ratings to public higher education institutions and will also highlight possible policy implications. Because public colleges and universities employ debt in a number ways, this primer and the subsequent analysis, will prove useful to institutional budget and fiscal managers, executive officers, state governing boards, policymakers, and those interested in researching this often overlooked area of education finance.

In the next sections, the goal is to underscore the policy, management, and financial implications that accompany the rating of public institutions. For example, in part three I explain how institutions utilize certain methods to achieve a hypothetical level of "excellence" through selectivity and the creation of excess demand. This section also explains how this affects the public character of these institutions based on practices and behaviors undertaken to affect credit ratings. The fourth section offers an analysis of the role that tuition, endowment and costs play in the credit rating process and specifically revenue generation. Part five explains how the internal and external governance of public institutions affects credit ratings and why the relationships an institution maintains with its board and legislature matter. In part six, state fiscal policies and their effects on public institutions are examined. Finally, the article closes by highlighting some of the broad implications that remain for public higher education in the U.S as institutions seek to maintain high credit-ratings and low debt-financing costs as the need for debt continues to climb.

² Please note that Michael J. Moody (2007, 2008) is not personally affiliated with Moody's Investor Services.

³ The overall criteria of the rating's methodology are the same for international higher education but Moody's (2007) makes special mention of the differences in the U.S. higher education marketplace in appendix 10 of the report.

Operational Process and Practice for Rating Public Colleges and Universities

When evaluating credit worthiness of higher education institutions for the issuance of long-term debt, credit rating agencies examine a number of institutional characteristics. Broadly defined, both agencies consider demand and market-positioning, finances and operating performance, management and governance of the institution both internally and externally, its debt profile, and state policies and mandates affecting public institutions as well as their relationship with state governing boards. Table 1, from Serna (Forthcoming), outlines the general credit ratings criteria and provides an explanation of how each criterion is measured.

Table 1: Operational Criteria for Public Higher Education Credit Ratings

Criteria	Measured via
Market-Position and Demand	Enrollments, number of applications, number of students accepted, student quality, student yield, retention and graduation rates, percent of tenured faculty, and competition
Finances and Operating Performance	Revenues (including tuition and state appropriations), expenses, risk management, operating budgets and balance sheets, endowment and long-term investment pools, liquidity provisions, and total debt burden
Governance and Management	Overall institutional strategies and policies implemented by university administration, track record of dealing with unforeseen difficulties, tenure of management, and composition and structure of the university governing board, reporting mechanisms and monitoring procedures.
Debt Profile	Security pledges, debt covenants, as well as other liabilities and debt instruments
State Policies and Government Relationship	Mandated tuition-caps, declines in budgetary resources provided by the state, requiring remission of surpluses or unspent dollars back to the state, bonding limits, and relationship with the state board.

Sources: Moody's (2007, 2011) Methodology for Rating Public Universities; Standard & Poor's (2007) Public Finance Criteria: Introduction and Higher Education; Serna (Forthcoming)

Demand. As shown in Table 1, when evaluating an institution Moody's and S&P consider the contextual nature of demand that an institution can command. The first items measured to determine demand are enrollment size ratios such as full-time student equivalents, part-time equivalents, and graduate and undergraduate student enrollments as percentages of total enrollment. The goal is to assess the vulnerability of college or university budgets to changing economic conditions, popularity fluctuations of particular programs, and changes in student enrollments, both graduate and undergraduate (Serna, Forthcoming). Given recent economic variability and its effects on demand for certain programs and institutional services, it

makes sense that S&P and Moody's would focus on trends and cycles in student enrollments over a three to five-year period (Moody's, 2007; Standard & Poor's, 2007).

The credit ratings process also takes into account an institution's admissions practices and flexibility of programs to unexpected changes. That is, the ability of an institution to deal with changing admissions demographics, deteriorating economic conditions, and increased competition. Flexibility is generally measured using the following six items:

- **Selectivity** – the institution's competitive position and level of selective admission, number of students with top scores or grades, and number of total applications
- **Geographic diversity** – the market area or region from which the institution draws students, number of students from out-of-state, and total out-of-state or region markets from which students consistently enroll
- **Number or proportion of tenured faculty** – the number of faculty who hold tenure at the institution, with highly rated institutions tending toward greater numbers/proportions
- **Program offerings** – the number of programs offered by an institution, how many programs are popular, the number of very specialized programs that may be highly vulnerable to rapid declines in enrollments, or many programs where enrollments may be less volatile or highly stable
- **Competition** – comparing the institution to its competitors for students, especially graduate students, and analyzing if the institution is winning or losing students in first, second or third choice selections
- **Retention and graduation** – analyzing the number of students retained and those who reach graduation within six-years where high attrition and low graduation rates may signal student dissatisfaction and thus potentially declining demand

Both credit rating agencies state that some of these items are difficult to quantify; nonetheless, the environment in which an institution operates is highly important for determining a credit rating given that contextual factors can impact demand for an institutions services.

Finances. Given the centrality of financial aspects on the process, it could be argued that the single most important factor in determining an institution's creditworthiness is its financial strength. In short, the question S&P and Moody's are trying to answer is "Can an institution service the debt it has acquired over the long run?" Hence, this explains the central and special consideration given to this part of the evaluation and its interconnectedness to all other evaluated criteria. Of special importance is the ability of institutions to react in a fiscally sound manner when confronted with financial stress, tight budgets, diminished demand, and lower revenues or increased expenses. Analyses undertaken include examining the revenues, expenses, risk management techniques, operating budgets, endowment size and investment pools, liquidity provisions, and debt burden. The following seven areas are important when determining the financial strength of an institution:

- **Revenues** – analysis of the historical and projected revenue trends of the institution

- **Expenses** – analysis of the historical and projected expenses of the institution where the focus is on budgetary flexibility in the case of declining revenues
- **Risk management** – the ability of the institution to continue operations in the event of an unexpected emergency, which also focuses on insurance coverage of property and casualty, business operations, and general liability
- **Operating results** – examination of the institutional income statement and balance sheet over the previous three to five years to determine whether operating income is sufficient to cover operations and that structural deficits do not exist
- **Endowment and long-term investment pools** – analysis of the ability of these two revenue types to add spendable income to institutional budgets and for the overall restrictiveness of available funds for investment
- **Liquidity** – determination of how long an institution can operate if it was unable to generate or receive additional revenues as well as its ability to meet both long and short-term expenses as they become due
- **Debt** – in the analysis of financial strength this calculation of an institution’s total debt burden is measured as the ratio of total debt to operating budget with a lower ratio being deemed more favorable.

Management and Governance. The credit rating agencies determine how management’s policies, strategies, and overall track record influence the institution’s ability to remain viable and its reactions to financial distress. Perhaps the most important criterion is whether management and governance of the institution by its executive officers might lead to debt default or even closure of the institution. Moreover, both agencies wish to understand each university’s capital planning process. Under this category the structure and composition of university governing board(s) are considered. Generally, each agency takes into account some variation of the following items:

- **Plans** – the arranged procedures that anticipate and prepare for potential changes in market demand, demographics, physical plant maintenance needs, and long-term capital planning
- **Strategies and policies** – the explicit institutional statements and goals set forth and implemented by senior university administration, evaluated on their viability and attainability
- **Track Record** – analysis of management’s previous handling of difficult or unforeseen problems evaluated through past operations and plans
- **Tenure** – evaluation of the length of time senior management remains with the institution where high levels of turnover are seen as potential signs of weakness or significant stress
- **Board composition and structure** – this factor takes in to account the ability of boards to replace university or college presidents, the board’s role in strategic planning, and the actual board make-up.

Debt Profile. In the previous section analysis of debt focused on an institution's debt-to-income ratio. Here the emphasis is upon understanding an institution's capacity and willingness to meet financial obligations on a broader scale. This evaluation results in a general judgment about the institution's overall ability to meet expenses as they come due. This process takes into account the following four areas:

- **Security pledges** – the pledge of tuition and student fees and state appropriations, to repay GO debt
- **Covenants** – includes conditions that require institutions and/or governing boards to charge tuition and fees which would not only meet but exceed debt-service coverage and the methods and policies an institution develops policies for debt service reserves, especially as concerns revenue-supported debt
- **Other liabilities and debt-like instruments** – those financial obligations, both short and long-term, which are outstanding at the end of a fiscal year, such as pensions, or contingent liabilities.
- **Ratio of revenues to interest payments** – the percentage of institutional revenues dedicated to debt-service

State Support and Policies. The credit rating agencies take into consideration the state's role in supporting higher education. The implicit meaning of this criterion is the recognition of important budgetary and governance relationships which institutions maintain with the state. Additionally, it highlights the budgetary discretion that lies with state legislatures and, potentially, with state governing boards. Therefore, the ability of institutions to raise tuition and fees during times of fiscal stress is important as are state policies that are directed at public universities. The rating process also considers how these policies could affect institutional fiscal and budgetary operations. Incidentally, this category is intertwined with the "board composition and structure" criteria mentioned in the previous section because state boards often serve as intermediaries between institutions and state legislatures (Moody, 2008; Tandberg, 2008; Zumeta, 1998). State policies can also play a major role in the determination of university credit ratings. Particularly important are policies that cap or limit tuition, those that require institutions to revert⁴ (reduce) budgets to eliminate state-level deficits, those requiring institutions to remit excess funds back to the state, and state debt policies. Moreover, S&P and Moody's both recognize the public nature of a state supported university in that they consider whether flagships and other public institutions are the primary providers of higher education in a state. In general, the following four areas are evaluated:

- **State's GO credit rating** – taking into account a state's rating allows the agency to determine the overall fiscal health of the state and how this might impact state support to higher education
- **State appropriations track record** – analysis of past state actions in support of higher education during times of fiscal stress and the state's general support record for higher education; S&P also evaluates this record in terms of state appropriations per full-time equivalents

⁴ This is usually done after a state has projected revenues and determined appropriations but finds that it has received less than the expected level of revenues and thus must revert or lower budgets and appropriations. This typically happens in the middle of a fiscal year when revenue short-falls occur.

- **Nominal changes in state funding formulas for higher education** – consideration of changing trends in state funding formulas and well as determining which institutions are favored by the funding formulas
- **State budgetary approval** – this factor examines state requirements exist for approving operating or capital budget

Credit Rating Symbols

Public universities typically obtain at least two credit ratings from two of the three credit rating agencies. Table 2 outlines the meaning of each credit rating including numerical or plus/minus indicators to signify an institution’s relative standing within each of the credit rating categories. Note that in the case of the default credit rating S&P maintains an additional category.

Table 2: Credit Ratings Symbols as Established by each Rating Agency for Public Colleges and Universities

	S&P	Moody's	
Highest Rating	AAA AA A BBB	Aaa Aa A Baa	Highest Rating
Speculative	BB B CCC CC	Ba B Caa Ca	Speculative
In Default/ Lowest Rating	C D	C N/A	In Default/Lowest Rating
Qualifiers	Plus and minus indicate a relatively stronger/weaker position in the category	1 indicates a higher, 2 a median, and 3 a lower position in the category	

Sources: Moody’s (2010) Ratings Symbols and Definitions; Standard & Poor’s (2007) Public Finance Criteria; Serna, (Forthcoming)

Much like their state governments (Johnson & Kriz, 2005), public universities are typically highly rated by both agencies. The majority of state, public, four-year universities fall into the categories above Baa2 by Moody’s, and BBB+ by S&P’s evaluation criteria. No single public university rated by either Moody’s or S&P as of 2010 fell below the ratings which signify speculative or increased default risk beginning at Ba1 for Moody’s and BB+ for S&P (Moody's, 2010; Standard & Poor's, 2010).

Although public universities enjoy relatively high credit ratings, due to the amount of debt they acquire, even small differences between credit ratings can mean significant differences in the interest costs. This means that even for institutions within the same rating category qualifiers impact the interest rate each faces

for long-term debt (Serna, Forthcoming). As a result, larger portions of the operating budget are dedicated to servicing debt when credit ratings, or qualifiers, are lower. It is important to note however, that institutions can, and often do, refinance current debt to lower debt-costs when credit ratings are upgraded or as interest rates fall.

Excellence, Excess Demand, and Selectivity

Most higher education institutions utilize a diverse array of mechanisms to create an image of excellence or prestige. Typically, this impression is created by becoming more selective in order to create excess demand. Another primary way of doing this is to undertake large capital projects to make the institution more attractive to a larger segment of the potential student population (Jacob, McCall & Stange, 2012). The concern here, however, is that as public universities seek more debt to fund projects in order to rise in the rankings or compete with rivals, they may compromise the very “publicness” of their institution.

Winston (1999), in his work on the “awkward” economics of higher education, explains that costs and revenues are clearly related to the long-term fiscal health and the overall viability of an institution. He goes on to elaborate upon the distinctive features of higher education institutions which set them apart from typical microeconomic firms. He states that the application of standard profit maximization models and principles to higher education “seriously distort[s] understanding and policy” (p. 34). In other words, the publicness of colleges and universities is not appropriately examined by employing typical microeconomic models of the firm. However, it is important to note that institutions remain in fierce competition for limited resources.

For example, Winston points out that, unsurprisingly, there exists a hierarchy of institutions all vying for the best faculty, facilities and most importantly students. The ability of an institution to compete effectively stems from its relative ranking and status, which usually reflects its donative wealth. More recently, however, access to large amounts of debt financing seems to be another status augmenting technique. As institutions rise in the rankings they are likely funding larger and larger projects and improvements with long-term debt.

Selectivity is another factor often associated with prestige and status among institutions of higher education and serves as a proxy for institutional quality. This is especially true if the institution can create significant excess demand. Another consequence of selectivity is that, because student demand for an institution’s services is tied to its perceived quality more students will seek out these schools. Students who have higher GPAs and ACT scores, characteristics sought by more selective institutions, will set a high bar for admission. Therefore, good students beget good students and a feedback loop of demand is created. Moreover, this demand loop increases pressure to acquire donative resources and, access to debt-markets. However, those institutions with more access to donative resources are already “ahead of the game” thus creating a highly uneven playing field when competing for donative wealth and debt-financing. This situation is troubling especially because often the less prestigious, less well known, and less financially endowed public

institutions that provide education for those who most need access to higher education pay more for their debt. The implication here is that as public universities, both flagship and regional, begin to behave more like private enterprises becoming more selective, they will be faced with what Winston (1999, p. 31) considers a dilemma:

The donative commercial firm [university] is essentially part church and part car dealer- devoted partly to charity and partly to commerce, to “ideology” and “rationality.” The result is a tension between doing good and doing well. It plagues administrators trying to decide which behaviors- those of the charity or those of the firm- are appropriate to a college or university.

It might be said that in their attempt to enhance or optimize credit ratings in the face of diminished state support and increased reliance on tuition and fees, public colleges and universities have been forced to behave more like the car dealer than the church.

Winston (1999) also revisits the fact that rich schools continue to grow richer and their endowments larger while the gap between rich and poor schools widens; a sentiment supported more recently by Wellman (2008). This finding is echoed by Lerner, Schoar, & Wang (2008). Lerner et. al. conclude that high student SAT scores are correlated with positive endowment growth. The demand loop created by these students, which in turn leads and institution to attract students with similar characteristics, could mean that these students become good donors and add to their schools’ already large endowments. This situation would in turn allow an institution with already significant resources to access debt at potentially much lower costs by selecting only the “best” students. Hence, schools with larger endowments and higher selectivity rates typically enjoy higher credit ratings given their access to more resources and ability to acquire higher levels of donative wealth.

Finally, because managers are often tasked with maintaining focus on prestige and the bottom-line they are in the unpopular position of making decisions regarding enrollment selectivity and the creation of excess demand (Hossler, 2004) as they seek, among other things, to optimize credit-ratings.

Endowment, Tuition Prices, and Costs

When considering financial strength, S&P and Moody’s consider the operating budget and the ability for a university to respond to fiscal pressures. The argument made for maintaining a “sufficient” endowment fund typically relates to liquidity provisions—in other words, the ability of the institution to meet expenditure obligations as they come due. This argument is underpinned by the idea that a sufficiently large endowment protects an institution against unanticipated fiscal stress and thus acts as a buffer in the event of a financial downturn. That is, a large, readily available endowment would allow the university to continue to operate with little disruption to daily activities even if its operating budget were adversely affected by external forces.

However, as Hansmann (1990) points out, the use of endowment funds as a revenue smoothing tool is precarious at best. In the past, during times of financial difficulty, few institutions have utilized endowment

funds to make up operating budget deficiencies instead opting to make cut-backs. For example, during the most recent recession when state support declined, many institutions increased tuition, furloughed employees, froze hiring, and cut programming to balance budgets (Wellman, 2010). Few if any reached into their endowments to make up the shortfall. Therefore, the question remains, what purpose other than optimizing or maximizing prestige, and by implication credit ratings, do endowments serve. They are considered by S&P and Moody's as an indicator of financial strength, but in practice they tend to serve only potentially as a rainy day fund. Still, endowment size may signal markets, including credit rating agencies, that an institution is viable, in demand, worthy of future contributions, and by extension that it is creditworthy.

In this same vein, a central concern is that public universities, in an attempt to optimize their credit ratings through the maintenance of endowments and increased tuition and fees, are making suboptimal decisions. This is not to suggest that paying more for debt-financing is a good idea, but rather that decisions which seek to optimize an institution's credit-rating such as increasing endowments, or raising tuition to appear more solvent in the eyes of a credit rating agency can compromise an institutions' public mission.

Turning the discussion to cost control, Archibald & Feldman (2008, 2011) find that the real costs of higher education per full-time student equivalent have risen considerably over the past 75 years, with a spike becoming evident in the early 1980s. The authors find that higher education costs follow the same time-path pattern of other service industry sectors by testing competing theories utilizing time-series data. This suggests that instead of being specific to higher education as argued by Bowen (1980), higher education's rapidly increasing costs have followed the same patterns as other service industry sectors that employ highly-educated labor (Baumol & Bowen 1966 cited in Archibald & Feldman 2008). This means that it is not possible to increase productivity and decrease costs in the service sector as straightforwardly as it is in the manufacturing sector.

Further cost control measures have been implemented across the states. Recently, policies aimed at controlling the "list price" of a college education have focused on punitive measures when prices rise too quickly. Some difficulty arises however, from the fact that cost pressures will not cease simply by utilizing policy to control university revenues through restricting tuition increases. Rather, these policy actions may exacerbate the situation by creating structural operating deficits when tuition is set to far below institutional costs. These policy actions also bring to light the underlying debate surrounding university quality and how university fiscal managers should balance the need to cut costs with the practical necessity of maintaining quality, prestige, and influence (Archibald & Feldman, 2008, 2011). Because the operating budgets of universities are such an important component of the credit ratings process these tradeoffs have serious implications for the public service missions of the institutions under consideration.

Zumeta (2004) explains that public higher education continues to face substantial financial limitations required by state legislatures based on the states' own economic troubles. In this context, states are

repositioning themselves in order to respond to the resource needs (Kane, Orszag, & Gunter, 2003; Eckel & Morphey, 2009) and debt-issuance requests (Denison, Hackbart, & Moody, 2009) from a growing number of state operations. Thus, as state budgets are strained, larger budget cuts must be absorbed by universities. In order to maintain their credit ratings and general financial viability, public institutions must decide how they will continue to operate in this environment; so far this has meant making up budget gaps with tuition and fees (Serna, 2013, Forthcoming).

Governance and Financial Stability

In their evaluation of public colleges and universities, both credit agencies explicitly attempt to establish how university revenues can be affected by the decisions taken by state boards and policymakers (Serna, Forthcoming). They also seek to understand how these decisions might create difficulties for institutions in repaying or servicing debt. Because most state governments provide oversight through state boards (Lane, 2007; Lowry, 2001a; McGuinness, 2003; McLendon, Hearn, & Deaton, 2006; McLendon, Heller, & Young, 2005) it is likely that public colleges and universities are required to operate in more stringent, centralized environments than other state operations based on this two-tiered oversight structure. Moreover, it may also be the case that oversight structures that are too involved with the day-to-day operations of public colleges and universities impede the ability of senior management to effectively respond to changing environments (Moody, 2008; Serna, Forthcoming; Zumeta, 1998), which might negatively impact institutional credit ratings.

For example, Knott & Payne (2004) show that the goal of centralized governance structures is usually to align college and university priorities with those of the state. Thus, as Volkwein & Malik (1997) and Coates, Humphreys and Vachris (2004) suggest, the governance structure can promote or constrain administrators' resource allocation and revenue-generation decisions. Hence, the level of centralization and authority granted to state boards and maintained by legislatures, influences how institutional managers might and can react when faced with difficult financial decisions. And, as mentioned above, it is likely the case that these same oversight structures impact decisions concerning debt-service and debt-issuance.

Evidence of this relationship is provided by Moody (2007). He shows that highly centralized governing boards can inhibit the ability of universities to leverage their full debt-capacity, and that overall debt levels are lower in states with highly centralized boards. Hence, debt-management decisions can be, at least implicitly, affected by oversight structures which can mediate a number of other financial relationships as well including those between taxpayer demands and enrollment decisions, and political and economic changes that influence management decision-making (for examples see Lowry, 2001a, b; &Toma, 1990). While this may be good for the debt-profile and credit rating of the institution, it may not allow managers to make decisions that may improve the institution's fiscal standing or prestige over the long-run, based on what are arguably short-term concerns.

Fiscal Institutions and Debt Policies

As state governments and their agencies, including public universities, seek debt-financing to pay for capital projects and improvements, concerns have been raised about both debt-levels and debt-capacity. The same concerns about high debt-levels have now surfaced given their potentially harmful effects on credit ratings. As a result of policymakers' worries that debt-levels might become untenable, some states have adopted debt policies that restrict the amount of issuable debt in response to those fears (Denison, Hackbart, & Moody, 2006; Hackbart & Leigland, 1990; Johnson & Kriz, 2005). As a result, debt-policies could affect the amount institutions can borrow through umbrella debt-limits (Moody, 2007, 2008).

Because public universities are technically state agencies (Trautman, 1995), it would make sense that a state might feel compelled to assume responsibility for university debt in the event of a default, and therefore, have instituted debt-policies to help prevent such a situation from arising. If such an outcome occurred it might result in a drop in the state's credit rating thereby causing debt-financing costs to increase for all entities impacted by the rating change. The implication for institutional administrators is that certain projects, which may be major priorities, cannot be financed because state constraints prevent borrowing. Therefore, administrators may find it challenging to exercise decision-making authority in such an environment. Additionally, they may find that leveraging the institution's debt-capacity at an ideal level is impossible because of these constraints (Serna, Forthcoming).

What is more, statewide debt limits and legislative approval requirements for debt-issuance could potentially hurt public college and university credit ratings. As noted earlier, Moody (2007, 2008) provides evidence that too much oversight or state interference can adversely impact the credit rating process for public colleges and universities. Furthermore, he finds that requiring approval from the legislature for debt-issuance is negatively associated with the level of long-term debt public institutions incur. Hence, as more and more states implement restrictive state debt policies, public colleges and universities are finding that they must compete with other state priorities for limited state debt-capacity. In order to avoid potential credit rating downgrades states might decide to limit debt issuance, including the debt issued by public institutions, to optimize their own credit ratings. In the same process, states might also compromise the ability of institutions to optimize their use of debt-financing (Moody, 2008).

Although the literature on the effects of restrictive fiscal policies on debt and borrowing costs is robust at the state level (Denison, Hackbart, & Moody, 2006; Hackbart & Leigland, 1990; Hildreth & Zorn, 2005; Johnson & Kriz, 2005; Moody, 2007, 2008; Poterba & Rueben, 1997, 2001; Robbins & Dungan, 2001; Trautman, 1995), only a few scholars have asked how these same policies might impact public higher education (Archibald & Feldman, 2006; Serna, 2013). Because a credit agency considers the state's policies, financial position, and history of support for higher education, those policies that impact a state's fiscal standing may affect public higher education institutions' credit ratings. So in much the same way as in those states that have tax or expenditure limits, restrictive fiscal policies that are not necessarily directed at higher

education, may nonetheless impact colleges and universities (Serna, 2013). In fact, the effects of these policies may be better understood as spillovers which result in a lower credit rating and increased borrowing costs.

Summary and Conclusions

The majority of the literature concerning public finance credit rating processes and their impacts has tended to focus on local and state governments, as well as on special and public authorities. To date, few studies have examined credit rating practices and the potential impacts on the management, publicness, endowments, tuition pricing, and debt-financing costs that they might have for U.S. public colleges and universities (Moody, 2007, 2008; Serna, Forthcoming). Here, the focus has been upon the credit rating methodologies followed by Standard & Poor's (S&P, 2007) and Moody's⁵ (2007) for colleges and universities in the U.S.⁶. Although the process described by S&P and Moody's is a general explanation of credit rating criteria for all U.S. higher education institutions, this essay has drawn out the intricacies which present themselves when dealing with four-year public institutions given their quasi-governmental character and public service missions.

This article has also highlighted the operational practices, processes, and policy, governance, and financial tradeoffs that are often made by institutional managers, in order to optimize credit ratings and signal markets that they are viable and in demand. It has also spoken to the difficulties that arise as rankings, prestige, and public purpose influence complex decisions for institutional fiscal managers (Eckel & Morpew, 2009) whose goal is to lower the long-term debt-financing costs an institution faces by making tradeoffs in the present.

As institutions seek larger and larger amounts of debt-financing they are forced to borrow for capital projects and improvements in order to remain viable participants in the academic marketplace. In pursuit of excellence and prestige institutional managers are also forced to consider how the institution's fiscal positioning might affect borrowing-costs and operating budgets, as well as the other, implicit, messages sent by credit ratings. Because debt-service now makes up a significant portion of some institutions' operating budgets, the goal is to minimize these costs. The best way of accomplishing this goal is to improve credit ratings by implementing policies that create a favorable review by Standard & Poor's and Moody's, whose credit ratings determine the interest costs of debt in credit markets.

This article has also outlined the general rating method employed by these two agencies. Broadly speaking, both agencies take into account six broad factors including: demand and market-positioning, finances and operating performance, management and governance of the institution internally and

⁵ Please note that Michael J. Moody (2007, 2008) is not personally affiliated with Moody's Investor Services.

⁶ The overall criteria of the rating's methodology are the same for international higher education but Moody's (2007) makes special mention of the differences in the U.S. higher education marketplace in appendix 10 of the report.

externally, debt profile, and state policies and mandates affecting public institutions and the relationship maintained with state governing boards. This article has also sought to carefully provide an examination of an education finance and management topic not often discussed in the higher education literature. As mentioned in the introduction, the primer and analysis presented here provide important contextual information for understanding public higher education credit ratings and the operational processes employed to determine them. Public colleges and universities employ large amounts of debt and as a result the role that credit ratings play in the determination of credit-costs is of vital importance. This is especially so for those charged with generation and distribution of limited resources at every level of higher education as well as those who research the drivers of institutional costs, the role of governance structures, and the fiscal administration of institutions. This analysis provides a basis for future studies by serving as a starting point for appropriate information regarding ratings and by examining several related concerns that intersect numerous higher education finance policy debates.

Still, some limitations remain. First, is that this paper does not consider the ratings process utilized by Fitch's, the third major player in public finance credit ratings. Fitch's was not included because after evaluating the criteria and processes of two of the three major credit rating agencies it became clear that the criteria differed little from one another. The second major limitation is that the literature reviewed here is almost all based on state credit ratings and debt. Michael Moody's (2007, 2008) studies have created a solid foundation for continued research in this area as has a recent analysis by Serna (Forthcoming). However, many of the arguments made here are extended to public universities from the literature on municipal finance. Additionally, public universities are increasingly coming to resemble the private microeconomic firm, something that is not likely the case for other subordinate state agencies. Third, the study is decidedly focused on public, state-supported, four-year colleges and universities and excludes private and community colleges. While the generalizability of the arguments made here are limited, the case is that private and community colleges are rated on many of the same criteria (Moody's, 2007; S&P, 2007). In spite of these limitations the scope of my framework remains useful because it carefully explains a timely and important process that affects many public higher education institutions.

Finally, this topic offers a number of avenues for future research because, as Lowry (2007, p. 303) puts it, "scholars of state politics and policy have devoted little attention to the public universities where so many of them work." Future research might examine whether excellence and credit ratings are related by examining correlations between credit ratings and rankings. Another possibility would be to analyze the impact of endowment size and tuition level on credit ratings. While the credit rating agencies explicitly mention that they consider these factors as part of institutions' financial health, it would be useful to understand how variability in either one might help institutions improve credit ratings, lower debt-financing costs, and achieve the ever elusive "excellence" that many seek. Because credit ratings are used to examine an institutions overall financial health and future viability, they remain important topics of discussion for college and

university managers. This is especially true as capital improvements and projects become more ubiquitous, and the debt-service required for them impacts the allocation of already limited resources.

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CREATING AN INSTITUTIONAL CULTURE THAT FOSTERS INNOVATION IN EDUCATION

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The prosperity of Western nations today is greatly impacted by the global economy and hence, there is greater importance attached to human capital and the thought of a high-skilled, high-waged economy. It is thus no longer possible for governments to protect domestic workers from the full force of international competition. The relocation of industrialized jobs to host economies such as China, Poland and Brazil evidences the realities of the new economy. Furthermore, technology's rapid and continuous growth leaves little room for pondering and reflection. Today we move quickly, gain optimal knowledge rapidly, and understand how to use it fast. "The one with the most knowledge wins", is often a phrase used in management and leadership books to emphasise the necessity of knowledge for the success of the organisation as a unit, even if it is not necessarily applicable to individual employees (Pearlson &

Saunders, 2006). Thus the acquisition of and skill in the use of knowledge has become the charge given to K-16 education by modern society and therefore, "the dynamic of transformation and the need to seize opportunities, to constantly innovate and constantly improve performance are everywhere: Schools at the cutting edge of innovation and collaboration will be selected from amongst the best schools as a lever to transform secondary education" (Ball, 2008, p.17-18).

Obtaining knowledge through constant innovation in order to improve performance may create a competitive edge and may contribute to the global economy, but it seems that it is also a path toward further individuation and isolation. As classrooms are microcosms of the broader community what is necessary for future generations is that educators teach how to use knowledge in collaborative ways for contributing

toward the betterment of society as a whole. As Daniel Goleman indicates in his book *Social Intelligence* (2006, p.334) "Schools themselves are very recent artefact of civilization. The more powerful force in the brain's architecture is arguably the need to navigate the social world, not the need to get A's". Students who move into the world with a feeling of belonging and a 'can do' attitude are students who are less likely to give up in the face of adversity and who, no matter how difficult circumstances seem around them, find ways to make a difference in at least one segment of their environment. Alfred Adler (in Mosak & Maniaci 1999) referred to this as social interest; a 'yes, I can...' attitude. Such people seem to be task oriented and seek solutions, focusing on what needs to be done in cooperative ways and by considering the well-being of others.

This 'can do' attitude according to Adler encompasses feelings of belonging and the 'empathic stance that people take is not just to one person or group of people. It is a bonding to people as a whole, to the community, not just as it exists now but for an ideal society amongst all. O'Connell (in Mosak & Maniaci, 1999) referred to the process as *humanistic identification* that is, identification not with a person, but with humanity itself" (p.116). Thus, as society changes, schools and colleges must change to meet societal needs; they must create a culture of innovation as well as a culture that fosters social awareness, social interest, social engagement and social commitment. This is vital to creating societies with members responsible for its harmony and wellbeing.

A Culture of Innovation

"For much of the twentieth century policy social sciences, including the tradition of political arithmetic, were mainly geared to addressing fellow academics, government advisors and policy makers. It was a model of history 'from above'. These target groups obviously remain important, but history is also made 'from below'. The concept of self-reflexivity suggests that agents can now be more knowledgeable about themselves and their place in the world and should be included in any debate about policies concerning fundamental social problems and in particular about how their relationship to society may be part of the social problems identified" (Lauder et al., 2004).

Durkheim (quoted by Lauder et al., 2006) referred to education in relation to its host society in the following way: "each society sets up a certain ideal of man, of what he should be, as much from the intellectual point of view as the physical and moral; that this ideal is, to a degree, the same for all citizens". Thus, Lauder et al. conclude that,

"Education is the influence exercised by adult generations on those that are not yet ready for social life. Its object is to arouse and to develop in the child a certain number of physical, intellectual and moral states which are demanded of him by both the political society as a whole and the special milieu for which he is specifically destined" (2006).

But, Durkheim's contention of community-targeted 'socialization' may be taken a step further if we question whether the acquisition of knowledge is pursued only for the purpose of

gaining future employment and maintaining a competitive edge in careers. Taking knowledge and using it for economic gain, rather than driving a future-oriented approach aimed at sustainable development.

Therefore, academic institutions, now more than ever, play a leading role in preparing young people to cope with and be productive members of an increasingly global society. The opportunities and learning outcomes, for students attending schools, are directly related to the educational experience and thus the credentials they receive

The institution's culture is defined by its' history, policies, management style, and most importantly the thinking and behavior of its' constituents (Pelonis & Gialamas, 2010), in other words, it is the way of doing business within the institution. But as society changes, so culture must change. In changing however, it is important to resist rejecting the old in favor of an all new way of doing things, for there is wisdom and experience embedded in the 'old ways' therefore, change means keeping from the existing culture what is meaningful and useful while being open and flexible toward societal changes/needs and adopting innovative practices to meet these needs. Innovation then refers to the inclination to think 'outside of the box'. It is not enough to have new ideas, it is necessary to develop new ways of doing business, alternate ways of thinking about a condition and multiple problem solving approaches so as to develop the new competencies necessary to meet societal challenges head on. Preparing students to address future challenges through innovation also means

preparing students to be flexible and open minded so that when solutions find dead ends or when they seem non existent, the hope and desire to continue searching does not diminish.

Student-Centered Innovation

Students are of utmost importance in learning institutions. In fact, if institutions are to be successful in transmitting knowledge in ways where students assimilate it and turn in into tacit knowledge (Pearlson & Saunders, 2006), "learning must be student centered where students engage in critical thinking. This means that students do more than reproduce knowledge; they question and challenge the ideas of others and forward their own opinions and ideas" (UTAS, *undated*). Furthermore, today's students attend schools attached to gadgets; iPods, PC's, MP3's, flash-drives, and cell phones to name a few of the most recognisable. How sensible is it to expect a student to "Sit in a small space for five hours a day while a teacher talks about the past and present"? (Wiles, 2007)

In relation to the state itself, education continues to serve a social function, the state cannot be completely separate from it (Durkheim, 1956, in Lauder, 2006: 83) but while it is the responsibility of the state to provide education that will deem its citizens worthy of competing for the plethora of future job opportunities by placing them at the centre of optimal knowledge acquisition, more importantly, it is the educational composition that will develop well-rounded individuals, cooperative citizens and innovative problem solvers, all of which can only enhance the

functioning of society and contribute to a better future. Most educational systems around the world however, promote an individualistic approach to education. Students are encouraged to be competitive, achieve the highest grades, best test scores and in general are taught to think of their own personal performance. On the other hand once they pass the threshold of graduation into the 'real' world, they are expected to work in teams, collaborate and become part of a bigger thinking puzzle to create for a common good. We must ask ourselves, why is it that young people today seem to find it difficult to be optimistic about the future, develop symptoms of depression and feelings of helplessness particularly during transitional times i.e. when transitioning from high school to college (Counselling Today, beyond academics 2011). In fact, 'Western research from the 1980s and 1990s indicated that young people felt deepening despair and powerlessness about the future especially regarding the environment, the economy, unemployment and health issues, notably drug abuse and AIDS'. (Gidley, Hampson 2004). Are these symptoms only due to the change and loss associated with adjusting to being a college student and later moving out into the workforce, or could these symptoms also be related to how prepared students are to face the challenges of society? and is being prepared directly related to the type of teaching and learning that takes place in educational institutions today?

Gidley & Hampson (2004) contend that negativity regarding the future is closely connected with disempowerment and therefore

how prepared students felt to act and solve problems that they envisioned was closely connected to their style of education.

An educational setting fostering innovation prepares students to address future challenges through innovation. That is, it is not enough to simply generate new ideas but rather to instil in students the new competencies deemed necessary to face the changes of the world we live in by:

- **Inspiring** faculty to come up with new, creative and applicable ideas
- **Confirming** student learning with these new ideas
- **Detecting** necessary resources to implement these ideas
- **Implementing** the new ideas
- **Assessing** student learning as a result of these new ideas
- **Modifying** the ideas and their implementation as appropriate

Innovation is a continuous act within the institution and while creativity means giving birth to new ideas, innovation ensures that creativity is not promoted for the sake of creativity but rather has inherent in every idea implemented a learning benefit for the student.

Serving Humanity

Social awareness, Social interest, Social engagement, Social commitment: Knowledge in and of itself may contribute to ones' individual intellectual bank, may provide the tools toward achieving a competitive edge, may get one into the best of higher educational institutions and ultimately may lead to work with satisfactory

compensation. But knowledge devoid of the awareness and skills toward the betterment of the human condition is incomplete education. Holistic education encourages the student to go beyond the self toward the common good. *Social awareness* according to Goleman (2006 p. 84) “refers to a spectrum that runs from instantaneously sensing another’s inner state, to understanding her feelings and thoughts, to “getting” complicated social situations”. Further on the hierarchy of knowledge connected to society is the idea of *social interest*. According to Adler (in Lundin 1989) social interest is innate and is an aptitude which deems one responsive to social situations. However, although inborn, social interest must be developed within a social context. Such a context according to Adler is first and foremost the family and secondly the school setting. Social interest may include interest beyond people, such as, animals, the environment or care for the entire universe. Social interest is an extension of the self into the community; a collective responsibility and striving for the betterment of the community and a condition which Adler strongly believed is a main criterion for positive social adjustment. In addition, *Social engagement* is the ability to put interest into practice. Becoming aware of a social condition is a first step, developing an interest toward improving the social condition is second and finding ways to engage in bettering the condition is a step further toward taking responsibility for part of the solution. Finally, *social commitment* to a cause, a human condition, the betterment of a situation or the improvement of a person’s life, becomes a way

of life for students as they develop a positive mind set toward improving any aspect of society. At this level individuals consciously are committed to help and inspire anyone around them to become better without the fear that the other might outshine him/her. In this phase students go beyond awareness and interest. They move toward a deep feeling of commitment and responsibility as they see themselves as part of the problem as well as the solution and belonging within their community/society means collaborating toward improving it. In a school culture of fostering social awareness and practicing innovative teaching, the social spectrum defined above becomes part of the daily teachings whether within the curriculum, through community projects, role modelling, mentoring or researching. Therefore, it is an ethical obligation for an individual or an organization to act having always in mind the benefit of the society at large and the educational experience must be comprehensive based on their academic, physical, spiritual, ethical and social engagement and development” (Gialamas, The Bullet, The University of Mary Washington Student Newspaper, Oct. 2011).

Innovative Academic Leadership

Innovative academic leadership is the continuous act of effectively engaging members of the academic institution as well as utilizing their differences, authentic energies, creative ideas and diverse qualities for the benefit of the students, faculty, and staff and for every constituency of the institution. (S. Gialamas, International Herald Tribune, Athens Edition, September, 2011).

The Innovative Academic Leadership (AIL) is comprised of three dimensions:

- **Interpersonal:** Includes inspiring others to strive for excellence and reaching for their maximum potentials, guiding and motivating exceptional performance, being the example for inspiration and instilling confidence in advance for success.
- **Setting standards:** includes establishing the standards to good conduct, serving as a model for meeting these standards, being laureates for the truth and the beautiful and modeling integrity and ethos (as defined by the ancient Greeks).
- **Serving Humanity:** Includes the entire spectrum of social awareness, social interest, social engagement and social commitment.

Innovative leadership requires a preparedness to accept and live with a certain amount of risk because it involves taking risk with new ideas that have not been tried and could fail. Similarly, it means a willingness to work with half developed ideas most of the time and a willingness to be flexible and resilient adjusting rules and parameters as ideas develop. Moreover, this type of leadership involves flexible decision making – the ability to make decisions based on adjusted internal (institutional) and external conditions or parameters. Furthermore, a leader’s ability to respond speedily is vital as is his/her personal enthusiasm for every project undertaken and there is a continuous demonstration of enthusiasm for the vision and goals. Innovative leadership also encompasses the ability to create positive tension

and finally the innovative leader is well aware that while new ideas stem from each individual or a group of individuals, it takes a team of members to make the ideas a reality thus, promoting team creativity is essential.

According to Len Sperry (2002) a leader who is effective works simultaneously on two levels: One level is *performance*, which ensures *productivity*. The other is the *people* level, which considers *health*. While in the past performance was solely emphasized with little attention being given to people, the result was low commitment and low morale, high rates of burnout and increasing health costs. The innovative leader understands his/her people well and takes care to tap into people’s strengths as well as their diversity as each person thinks differently. Furthermore, the innovative leader exhibits the following:

The innovative leader sees a universe of infinite possibilities and is constantly looking to inspire others to experience life creatively. Continuously generating new ideas as well as positive energy, the innovative leader influences congruent decision making practices according to the adopted principles and values. The innovative leader shapes the future of the organization by understanding the organizational identity over a time period. Looking at the past via the present is necessary in order to shape the reality of the future. The leader, by tapping into the collective qualities of his/her people, crystallizes the vision of the organization and thus moves the organization to a different stage with a different reality. In addition the innovative leader is looking continuously to improve the leadership and

management structure of an institution for making effective and efficient decisions. The innovative leader is committed to provide clearly and precisely to all constituents the following:

- The current status and the identity of the organization;
- The organization vision;
- The rationale of the vision;
- A strategic plan of how the vision can be accomplished;
- Strategies to establish a Leadership Team;
- Action Plan of implementing the strategic plan.

Faculty as Catalysts for Innovation

Innovation within an institution is manifested primarily by the faculty. The faculty transmits knowledge, skills and mind sets to students, either explicitly or tacitly. Faculty who promote and foster innovation are not afraid to generate, adopt new ideas and develop different teaching methods. There should be a high degree of autonomy and independent judgment among faculty without the need to have the administration's approval every step of the way. Such faculty has a high degree of social interest as well as the courage to move forward with half developed ideas. Usually, such faculty has a range of personal and professional interests and is constantly stimulated to professional growth and development. They are self motivated, hard working, dedicated and able to hold and process multiple ideas simultaneously. According to Lightfoot (1983) in her book *The Good High School; portraits of character and culture*, "one of the

most important qualities of a good school is the consistent, unswerving attitudes toward students. The first impression is that teachers are not afraid of their students" (p.342). This fearless regard of adolescents is striking. Thus, the rapport developed between students and teachers and the ease with which teachers move among their students is a good indicator of the courage to live among, educate, mentor and guide students in innovative ways without the regard for possible obstacles on the way.

Curriculum for Innovation

In order to fully prepare students to face the challenges of society, knowledge in and of itself is not enough. A holistic education is important in developing 'educated' students without compartmentalizing subjects and simply producing 'mathematicians' "cyber experts" "political historians" "writers" and so on. A holistic education then can assist students in participating more fully in a life that is multifaceted. This type of knowledge can provide support in appreciating art, enjoying literature, analyzing problems, designing research, pondering existential dilemmas and engaging in relationships through common interests and can be a means of communication and bringing people together. Curriculum then is essential in what and how students are learning. According to Orkwis and McLane (Fall 1998) usually classrooms contain a number of students who do not understand the curriculum. These students, may include those identified with learning disabilities but also include the linguistically and culturally different, those

who are considered low achievers and an indistinguishable group of students who understand some of the subject matter but not enough to become competent in it. School curriculum must be directly related to what is relevant to each student's life. It must be exciting, current and congruent with the needs of the global community and must naturally include aspects from the Arts, Humanities, and Social Studies to Mathematics and Sciences. Innovative curriculum in particular is comprised of four inseparable and integrated components (SCRI):

- S**kill competencies: acquiring new skills and mastering existing skills
- C**ritical thinking competencies: developing decision making competencies for problem solving
- R**elevance applicability: Relating competencies to one's environment (course of study and real life situations)
- I**nspirational delivery: Expressing the understanding of complex concepts in a unique and refreshing way.

In particular, the curriculum of an international school must take care not to reflect any local cultural bias (western, eastern, etc) and thus must be reviewed often. The design suggested calls for a vertical approach that recommends beginning at the upper end of studies (senior year) and moving downwards. The desired competencies and learning outcomes once carefully chosen can then allow a vertically downward movement where necessary and sufficient enabling objects can be identified.

To illustrate, let us assume that one of the learning objectives to be acquired by senior year is for students to determine whether a collection of data is reliable and valid. Students must have the knowledge to analyze and compare statistical numbers such as the mean, median, mode, standard deviation and correlation coefficient and they must be able to run statistical tests. They must also be able to master available technology tools to simplify the process of calculating such statistical numbers. This presupposes that in order for faculty leaders to continuously develop, filter, and crystallize the curriculum in their areas of expertise, they must also always remain learners and seek continuous content knowledge as curriculum needs and demands increase dramatically in certain areas such as science, mathematics, technology, business, economics. "Ideally, a curriculum should be able to be modified or customized to meet the needs of both teacher and student." (Orkwis, McLane, 1998).

The curriculum must also be articulated by considering both ends of the educational spectrum. Thus, curriculum development and revision cannot take place in isolation. For example, changing the Mathematics curriculum at the High school level makes sense only if faculty is well aware of what takes place during the first and second year of college just as much as they are aware of what takes place in the Middle school or Junior High school.

Curriculum Delivery

"Access to the curriculum begins with a student being able to interact with it to learn"

(Orkwis, McLane, 1998). These authors further contend that curriculum must be delivered using a variety of methods so that all students have access to the curriculum despite linguistic, cultural, learning differences or other barriers. Most importantly however, the curriculum must be challenging to every student.

Today, with all the available teaching and learning tools, delivery options are endless. The opportunities are invigorating for any faculty committed to providing the best educational experience for students. "Face to face" teaching and learning can be enhanced with online opportunities, learning tools (such as videos, simulations, virtual environments etc) eliminating barriers and being inviting to all learning styles. Furthermore, faculty can create many enhancement opportunities for student learning as the faculty is no longer the only source of knowledge and information. In turn, faculty can enrich their role by also becoming coaches, mentors but most importantly examples and inspirers.

While curriculum delivery today can be very demanding, usage of the available tools can create fresh, diverse and challenging teaching methods which can prove to be very rewarding. Moreover, one can teach complex topics without being in the most expensive environment. For example, one can teach DNA replication, analysis and its effects by inserting certain enzymes without needing an expensive laboratory, but having instead access to virtual labs and simulation tools.

Curriculum Support

The requirement for having a current, exciting, and relevant curriculum together with adopting creative and innovative strategies and techniques in teaching and learning demands a very strong commitment to faculty development and growth and at least modest infrastructure in technology and facilities.

According to Len Sperry (2002), "development prepares individuals for increasingly responsible or complex jobs" and he asserts that there are four skill requirements necessary for development: a. enhancing skills to improve performance b. supporting ongoing, non stop learning, c. aligning training with the organizational mission and d. measuring development outcomes. Therefore, the institution's leadership at all levels must commit to not only providing development support but must also recognize efforts and identify ways to exhibit appreciation.

It may take several hours to integrate a technological tool or a new strategy in teaching and learning. The process design, implementation, assessment, and modification can be time consuming and demand a lot of energy. There is also no guarantee of success. Risk taking therefore is an underlying concept on creative teaching. Nothing is automatic and creativity is not sold in bookstores. The leader (s) must be tolerant of risk generated mistakes, must be a cheerleader (s) of new teaching strategies and be the pillar (s) for faculty development. The growth and development of the institution's faculty is the most important investment the educational

institution. It is also expensive and can take much time and energy from faculty and administration.

Curriculum Assessment

Student assessment must be related to the diverse curriculum and the learning objectives. The learning objective must guide the assessment approach and the tools we use. Assessment should not be focused in one type of learning approach or one type of competency. For example if a desired learning outcome is the student's ability to use mathematical concepts to solve a real life problem then multiple choice questions are not appropriate. If a desired learning outcome for a student is to utilize his/her knowledge and skills to produce energy using renewable resources then an exam or a test within a classroom setting is not assessable student learning.

In general, assessment of student learning must be congruent with the four components of an innovative curriculum (SCRI). For example a coherent assessment approach to determine if a student has mastered the concept of quadratic equations should include questions and statements like the following: (S) Solve the following quadratic equation, (C) determine if the given quadratic equation has real or imaginary solutions, (R) identify from your everyday life (i.e. newspapers, magazines) how a quadratic equation is used. (I) express your understanding of the concept of a quadratic equation in any way you want (i.e. a poem, a drawing, a painting).

Conclusion

Our demanding and exponentially changing world demands visionary, innovative and ethically committed leaders. In turn, educational institutions need to provide rich, textured, holistic, meaningful and harmonious educational experiences to students. Students must not only learn new content and obtain new competencies to help them shape their future but they must also develop and adopt a set of universal principles and values. These principles and values in conjunction with ethos will be essential guides in their life journey.

The great educational institutions of the future will not be more of the same as defined today. They will be the ones which will be effective in the midst of all drastic changes in society so there is a need for new type of knowledge and most important wisdom, which is the ability to utilize knowledge to construct creative solutions to societal changes.

Innovation and an authentic leadership approach are the enabling objectives to provide young people with a unique, meaningful and high quality holistic educational experience. These people will then exercise wisdom in decision making as they become the keepers of the future of this small planet of ours.

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THE EFFECTS OF EMPLOYMENT DEVELOPMENT AND OTHER FACTORS ON JOB SATISFACTION AMONG EMPLOYEES OF FOUR-YEAR INSTITUTIONS OF HIGHER EDUCATION

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Turnover among state employees across the country is a significant and growing concern to state legislatures. In researching the staff turnover experienced by public institutions of higher education in Texas, an inquiry into this activity at the six largest institutions in the state (The University of Texas at Austin, Texas A&M University, Texas Tech University, University of Houston, Texas State University-San Marcos, and The University of Texas at San Antonio) was undertaken. The combined staff of these institutions numbered 26,202 employees in FY 2008 and 29,190 employees in FY 2010. Their combined turnover yielded losses of 3,644 employees in FY 2008 and 3,546 employees in FY 2010. Of these employees, 2,914 voluntarily departed in FY 2008 and 2,489 voluntarily departed in FY 2010. Of the reasons cited by employees who voluntarily exited state employment in FY 2010 (Texas State Auditor's Office, 2011) and completed the state employee exit survey, many cited factors related to ineffective supervision as central to their departure. Specifically, these employees mentioned poor working conditions, lack of career opportunities, opportunities for better pay elsewhere, and issues with a supervisor as determining factors. Organization managers occupy positions of varying degrees of influence over such factors. This assertion is supported by seminal research (Hackman and Lawler, 1971; Hamner, 1974; Herzburg, 1959; Vroom, 1964) conducted in the areas of employee motivation, job satisfaction, and organizational culture. To appreciate the concern regarding this issue, it is important to note that there are many challenges associated with the departure of skilled and capable employees. These challenges include productivity losses stemming from

- the absence of trained and productive workers;
- disrupted work schedules;

- efforts to recruit, hire, and train replacement workers;
- decreased employee morale in response to an uncompensated increase in workload; and
- loss of intellectual and relationship capital built by the departing employee.

In the coming years, as an increasing number of employees approach retirement age, it is anticipated that the number of retirements will rise dramatically. In response to the expected rise in retirements and the compounding effect of voluntary turnover unrelated to retirement, it is imperative that action be taken now to reduce the rate of employee-driven turnover. There is a dearth of research in this area related to employees of institutions of higher education. Previous studies were limited to for-profit, private sector businesses and public sector agencies. Due primarily to the significant cultural differences and operational imperatives that exist between these organizational types and institutions of higher education, the transference of findings from these earlier studies cannot be assumed. As such, there is a clear and pressing need for further research in this area as it relates to institutions of higher education.

The lack of an adequately staffed, motivated, and skilled university workforce presents tremendous challenges in meeting the administrative and educational requirements inherent to the mission of any university. To this end, the purpose of this study was to examine the effects of Employment Development on Job Satisfaction among staff employees of public, four-year universities in Texas. In addition, the effects of two other factors—Physical Environment and Information Availability—and their relationships to Job Satisfaction were examined. These factors were selected in response to findings from previous studies which revealed that these variables are critical measures of supervisor effectiveness (Cascio, 1982; Mobley, 1982; Zippo, 1982).

Theoretical Framework

A behaviorist epistemological perspective was employed throughout the course of this study. Skinner (1974), credited as the father of radical behaviorism, postulated that environmental factors have a great effect on individual behavior. Information regarding these environmental factors contributes substantially to the prediction and control of individual behavior. According to Skinner, this is accomplished by taking into account only those details which can be directly and objectively detected and measured in the behavior of a person relative to his environmental history. The prediction of such behavioral tendencies based on environmental conditions upon which those behaviors are often linked formed the theoretical and practical basis for this study. Additionally, the seminal works of Frederick Herzberg and Victor Vroom related to workplace motivation were also examined. Herzberg (1959) posits that a variety of factors affect the workplace environment by directly or indirectly influencing employee motivation and job satisfaction. According to Herzberg, job satisfaction is considered an outgrowth of achievement, recognition, challenging work, responsibility, and career advancement. When these factors are present in a job, Herzberg states the employee will experience positive feelings towards his employment that inevitably result in improved work performance. Conversely, job dissatisfaction is driven by other factors present in the work environment. For

example, Herzberg states that job dissatisfaction often stems from organizational policies and practices, quality of supervision, relationships with others (particularly supervisors), work settings, job security, benefits, and pay. These dissatisfiers, which Herzberg characterizes as *hygiene factors*, can reduce or eliminate job dissatisfaction and enhance performance to a degree, when properly applied, but will not deliver optimal levels of performance. To achieve high performance outcomes, management must introduce motivation strategies that focus on the nature and quality of the work environment.

Similarly, Vroom's (1964) research was based on the notion that employees have a tendency to favor certain purposes or outcomes over others. Regarding these favored outcomes, they are inclined to anticipate feelings of satisfaction should a favored outcome be realized. Vroom employs the term *valence* to characterize the feelings attributed to these outcomes. If positive valence exists, achieving the outcome is preferred to not achieving it. Conversely, negative valence characterizes a circumstance when the achievement or realization of an outcome is not preferred by employees. In essence, the magnitude of the valence of a given outcome is contingent upon the degree to which it is seen as contributing to other outcomes and the valence of those outcomes. Vroom applied this proposition to research associated with occupational choice, job satisfaction, and job performance.

Employment Development as an Influence on Job Satisfaction

The association between employment development and job satisfaction has been well documented by numerous studies involving employees in both the private and public sectors (e.g., Chew and Chan, 2008; Owens, 2006; Sahinidis and Bouris, 2008).

Chew and Chan (2008) examined the impact of several human resource practices on employee organizational commitment, job satisfaction, and intention to stay. One of these practices was the implementation of training and career development strategies. The authors suggest that many forward-thinking employers are striving to create a positive organizational climate in an attempt to retain valuable employees through a variety of human resource initiatives. The authors further claim that although conventional wisdom suggests that trained individuals become more marketable and consequently might leave the organization at the first opportunity, studies indicate that if their training needs are met, employees may be more satisfied with their employment and likely to remain with their employers. In fact, the results of their study serve to substantiate this claim. The researchers concluded that training and development did indeed have a significant and positive association with an employee's intention to remain with their employer.

In a similar study involving public sector employees, Owens (2006) investigated the relationship between training participation, job satisfaction, and turnover intention. The results of the study indicated a strong positive correlation between training participation, heightened job satisfaction, and low turnover intention.

Sahinidis and Bouris (2008) investigated the connection between perceived employee training effectiveness and job satisfaction, motivation, and commitment to an employer. The authors surveyed

employees after they had completed a performance-enhancing training program. The information solicited from these participants was related to their attitudes towards the training program as well as their employers. The results of the study indicated a positive relationship existed between perceived training effectiveness and job satisfaction, motivation, and commitment to an employer. In light of these findings, we proposed the following hypothesis:

Hypothesis 1: Employment development is positively and significantly related to job satisfaction.

Physical Environment as an Influence on Job Satisfaction

Likewise, physical environment is shown to have a marked influence on employees attitudes regarding satisfaction with work (e.g., Adams and Bond, 2000; Annakis, Lobo, and Pillay, 2011; Earthman and Lemasters, 2009). In their study of hospital nurses, Adams and Bond (2000) explored the relationships between physical work environment, personal characteristics, and level of job satisfaction. The researchers concluded that ward facilities and ward layout were statistically significant predictors of job satisfaction among survey respondents. These factors, both associated with physical environment, were found to have positive associations with job satisfaction.

Annakis, Lobo, and Pillay (2011) investigated predictors of workers' job satisfaction among customer service representatives (CSR) of call centers located in Australia. The results of their study indicated three factors: monitoring, flexibility, and work environment were significantly correlated to job satisfaction among employees.

Earthman and Lemasters (2009) researched the possible relationships between the perceptions teachers have about the states of their classrooms and their satisfaction with employment. Their findings indicate the physical environment does in fact influence the attitudes of teachers, in turn, affecting their productivity. Poor classroom environments can cause morale issues which the authors suggest may eventually affect student achievement. These findings gave rise to the following study hypothesis:

Hypothesis 2: Physical environment is positively and significantly related to job satisfaction.

Information Availability as an Influence on Job Satisfaction

A review of the extant literature on the relationship between information availability and job satisfaction reveals a significant association (e.g., Goris, 2007; Carriere and Bourque, 2009; Zydziunaite and Katiliute, 2007). Goris (2007) explored the influence of communication satisfaction on the relationships between job congruence, job performance and job satisfaction. His findings indicated satisfaction with communication was a strong predictor of both job performance and job satisfaction.

Carriere and Bourque (2009) examined the relationships between internal communication practices, communication satisfaction, job satisfaction, and organizational commitment. The authors identified significant and positive relationships between internal communication practices and communication

satisfaction, communication satisfaction and job satisfaction, and communication satisfaction and organizational commitment.

Zydzianaite and Katiliute (2007) researched the experiences of nursing staff in a variety of areas including information-sharing, work motivation, and job satisfaction. The authors found that motivation and job satisfaction among nurses decreased when operating in organizations with poor information-sharing mechanisms. Additionally, those nurses operating in organizations that fostered effective interpersonal communication experienced increased motivation and job satisfaction. In light of these findings, we propose the following hypothesis:

Hypothesis 3: Information availability is positively and significantly related to job satisfaction.

Supervision Effectiveness as an Influence on Job Satisfaction

In addressing the subject of supervisor effectiveness, Doh, Stumpf, Tymon, and Haid (2008) questioned whether the use of compensation as a primary retention tool was an effective strategy. The findings revealed four factors which appeared to be highly influential in affecting employee turnover decisions: performance management practices, professional development practices, the quality of supervision, and the company's socially responsible posture. In turn, these factors influenced the formulation of two employee attitudes: job satisfaction and pride in the organization. Researchers concluded that the finest companies to work for provide a high degree of management support as well as training and development opportunities to their employees very early in their employment.

This finding was further supported by research conducted by Buelens and Van den Broeck (2007). Buelens and Van den Broeck proposed public sector employees are more motivated by a supportive work environment and less motivated by extrinsic monetary rewards. Their findings confirmed that civil servants were less motivated by financial considerations. Additionally, their findings served to affirm their proposition that public sector workers were more strongly motivated by a desire to work in supportive working environments which is indicative of effective supervisory practices.

The present study follows the work of Herzberg (1959) and Vroom (1964), by including the following theoretical variables to represent the concept of supervisor effectiveness: employment development, physical environment, and information availability. This established association between the study's predictor variables resulted in the formulation of the following hypotheses:

Hypothesis 4: Physical environment is positively and significantly related to employment development.

Hypothesis 5: Physical environment is positively and significantly related to information availability.

Hypothesis 6: Information availability is positively and significantly related to employment development.

Design of the Study

A correlational model (Figure 1) was used to examine the relationships between the four factors: Employment Development (ED), Information Availability (INFO), Physical Environment (PE), and Job Satisfaction (JS).

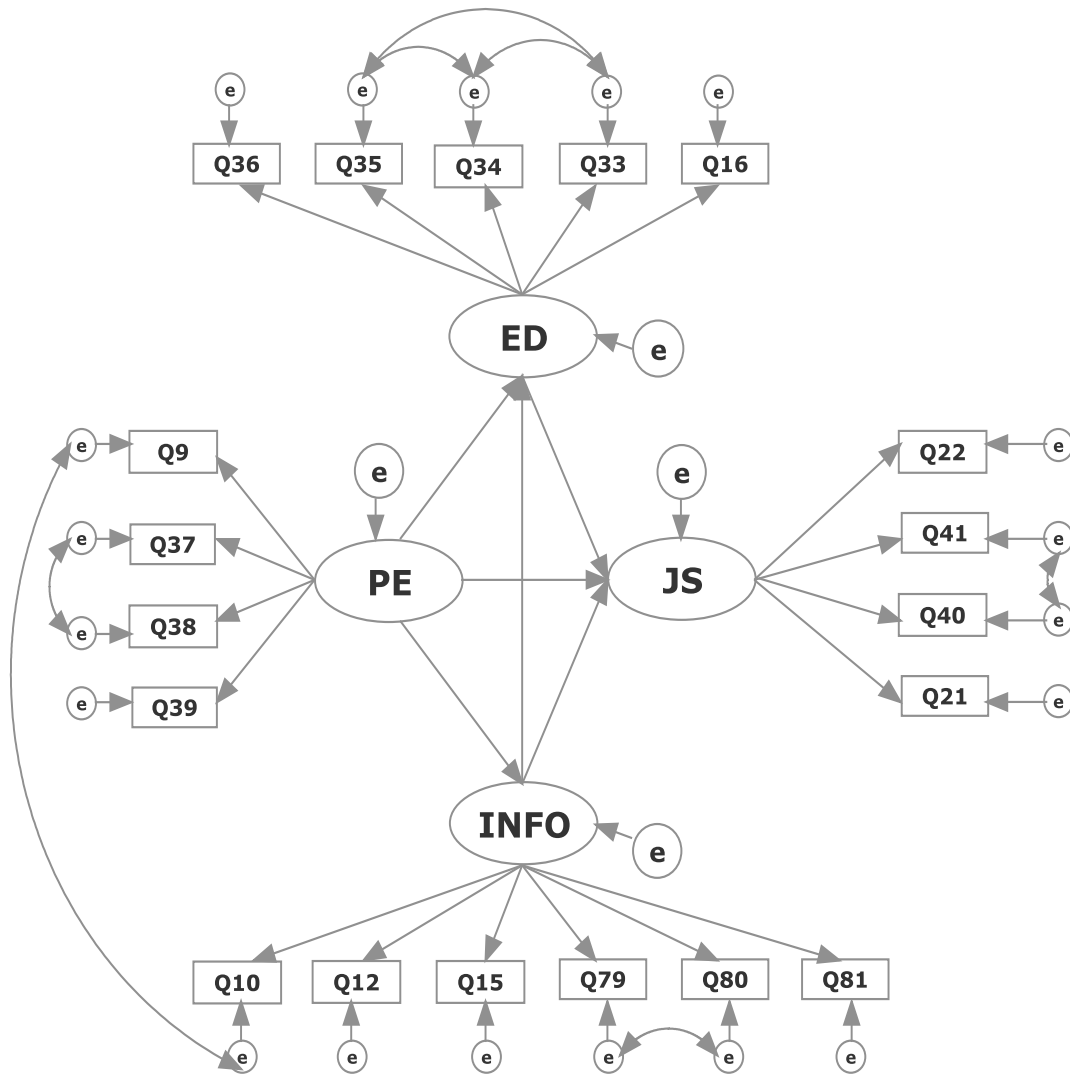


Figure 1. Conceptual structural equation model. Latent constructs are shown in ellipses, and observed variables are shown in rectangles. Factors: Employment Development (ED), Physical Environment (PE), Information Availability (INFO), Job Satisfaction (JS). Q## represents the specific survey items used in measurement models. E represents measurement error or the residual value associated with variables.

Sample and Data Collection

The data utilized in this study was derived from the Survey of Organizational Excellence (SOE), which was produced by The Institute for Organizational Excellence (IOE) located on the campus of The University of Texas at Austin. The SOE is intended to assist management at all levels within state government by delivering information about workforce related issues that influence the operational effectiveness of the enterprise. The information derived from the survey not only relates employees' views of the efficacy and efficiency of their own organizations but also employee perceptions related to satisfaction with employment. Being cognizant of such perceptions is vital to an employer's ability to recruit and preserve a high quality workforce. The SOE consists of 16 demographic measures and 84 survey items. The demographic measures produce both ordinal and nominal data, depending on the dichotomous or polytomous nature of the measure. The survey items are polytomous and generate ordinal data utilizing a five-point Likert scale with response categories ranging from strongly disagree to strongly agree. While the instrument allows for six possible responses, records containing one or more *not applicable* responses for the indicator variables utilized during this study were treated as unanswered items and eliminated from consideration. In FY 2010, the SOE was administered to employees of seven public, four-year institutions of higher education in Texas. For the purpose of this study, the data gathered from these institutions was limited to staff employees and analyzed in the aggregate providing cumulative findings for the sample population. Additionally, incomplete records were purged from the study through the use of listwise deletion, which is considered an appropriate method for treating missing data in SEM (Hair, Black, Babin, Anderson, and Tatham, 2006).

Data Screening

In examining the descriptive statistics presented in Table 1, it is immediately apparent that none of the survey items generate a normal distribution of participant responses. This is quickly determined from an analysis of skewness and kurtosis indices. A central assumption in the performance of SEM investigations in general, and the utilization of Analysis of Moment Structures (AMOS) software specifically, is that the data used for analysis are multivariate normal (Byrne, 2010). Of particular concern are those data that are multivariate kurtotic. While skewness has a tendency to affect tests of means, Kurtosis severely affects tests of variances and covariances (DeCarlo, 1997). While there seems to be no consensus as to how great values should be before findings of severe kurtosis can be established, values equal to or greater than 7 are commonly deemed to be divergences from normality (West, Finch, and Curran, 1995). Using the threshold of 7 as an indicator, a review of the values presented in Table 1 shows no item to be unacceptably kurtotic.

Table 1 – Descriptive Statistics

Survey Item	N	Mean		S.D.	Skewness		Kurtosis	
	Statistic	Statistic	Std Error	Statistic	Statistic	Std Error	Statistic	Std Error
Q9	1319	3.82	.029	1.050	-1.003	.067	.479	.135
Q10	1319	3.99	.026	.928	-1.253	.067	1.872	.135
Q12	1319	3.27	.029	1.064	-.510	.067	-.519	.135
Q15	1319	3.44	.029	1.059	-.636	.067	-.317	.135
Q16	1319	3.43	.028	1.018	-.572	.067	-.204	.135
Q21	1319	3.31	.032	1.154	-.445	.067	-.707	.135
Q22	1319	3.82	.028	1.013	-1.008	.067	.704	.135
Q33	1319	3.64	.029	1.067	-.770	.067	-.014	.135
Q34	1319	3.70	.029	1.050	-.870	.067	.251	.135
Q35	1319	3.77	.027	.981	-.877	.067	.521	.135
Q36	1319	3.94	.027	.996	-.976	.067	.723	.135
Q37	1319	4.10	.021	.775	-1.054	.067	2.027	.135
Q38	1319	3.95	.025	.908	-1.031	.067	1.141	.135
Q39	1319	3.76	.029	1.062	-.831	.067	.140	.135
Q40	1319	3.69	.028	1.032	-.785	.067	.120	.135
Q41	1319	3.78	.025	.913	-.919	.067	.799	.135
Q79	1319	3.84	.023	.836	-.916	.067	1.242	.135
Q80	1319	3.82	.025	.892	-.995	.067	1.106	.135
Q81	1319	3.52	.030	1.090	-.758	.067	-.181	.1356

Note: Q## = survey item.

Data Analysis

The method of analysis utilized during this study was Structural Equation Modeling (SEM). SEM allows for the ability to analyze construct variables that cannot be measured directly but that can be estimated from other directly measured variables (Schreiber, Nora, Stage, Barlow, and King, 2006). In analyzing the data associated with this study, Statistical Package for the Social Sciences (SPSS) was used to generate the descriptive statistics associated with the dataset as well as to ascertain the bivariate correlations that exist between the study variables. Analysis of Moment Structures (AMOS) software was used to construct the study path diagrams as well as to evaluate model fit from the program’s text outputs. SEM was employed to determine the strength of the correlational relationships between the various study variables. According to Byrne (2010), use of statistical models offers an effective, efficient, and expedient way of characterizing the composite construction underlying a set of directly observed and measurable variables. Once a path model is constructed, SEM can be used to calculate direct estimates of relationships between the various study variables. Unlike path analysis which employs simple bivariate correlations to ascertain the degree of relationships present in a series of structural models and their mathematical foundations, SEM provides for the simultaneous analysis of all variable relationships utilizing data from each of the mathematical equations that comprise the foundational basis of a research model (Hair et al., 2006).

Regarding goodness of fit (Table 2), while the chi-square and the CMIN (minimum discrepancy)/*df* (degrees of freedom) statistics were unacceptably high, these measures were undoubtedly influenced by the

large sample size. Values for the AIC (Akaike’s Information Criterion) and BCC (Browne-Cudeck criterion) were also unacceptably high. However, the CFI (comparative fit index) and RMSEA (root mean square error of approximation) values both indicate good model fit. Finally, at a .05 probability level, the critical N value of 251 indicates adequate sample size.

Table 2 – Goodness-of-Fit Indices

Model	χ^2	df	p	CMIN/df	CFI	RMSEA	NPAR	AIC	BCC
Default Model	881.875	139	<.001	6.344	.984	.064	70	1021.875	1024.032
Saturated Model	.000	0			1.000		209	418.000	424.441
Independence Model	14542.539	171	<.001	85.044	.000	.253	38	14618.539	14619.710

Note. CFI = comparative fit index; RMSEA = root mean square error of approximation; NPAR = nonparametric statistic; AIC = Akaike’s Information Criterion; BCC = Browne-Cudeck criterion.

Scale analyses were conducted using SPSS 18.0 to determine the degree of internal consistency among those survey items used as indicator variables in the study’s measurement models. Results of those analyses are presented in Table 3. According to Krathwohl (2004), internal consistency reliability provides substantiation that the survey items employed as indicator variables in a structural equation model are homogeneous, measure a specific construct, and correlate highly with one another. High internal consistency reliability is necessary for a measure to be interpretable. Cronbach’s Alpha provides an internal consistency reliability measure that ranges from 0 to 1, with values of .60 to .70 considered the lowest levels of acceptability (Hair et al., 2006). As displayed in Table 3, the sample utilized during this study provides adequate internal consistency reliability values for the construct variables under investigation.

Results

Standardized path coefficients were generated to examine the pre-established relationships between the study’s predictor and criterion variables in terms of their statistical and practical significance. In determining practical significance, the r^2 Coefficient of Determination was employed to assess degree of practical effect among statistically significant factor relationships. This analysis provides for the amount of variance shared by the factors and will be examined in the context of Cohen’s operational definitions of small (.10), medium (.30), and large (.50) effect sizes for r (Cohen, 1987). The findings presented in Table 4 provide the standardized regression relationships generated by the construct variables. In exploring the first hypothesis, the relationship between the variables Employment Development and Job Satisfaction, we found the relationship generated a substantial standardized regression estimate of .604 but failed to achieve statistical significance ($p = .25$). In this case, we were unable to show a predictable and meaningful relationship existed between these two factors. In addressing the second and third hypotheses, neither of the two predictor constructs (Physical

Environment and Information Availability) produced statistically significant results ($r = .250$, $p = .24$ and $r = .140$, $p = .67$ respectively) with the criterion variable, Job Satisfaction. As a result, we were unable to establish

Table 3 – Reliability Statistics

Indicator Variable	Construct Variable	Cronbach's Alpha
Q21	Job Satisfaction (JS)	0.834
Q22		
Q41		
Q40		
Q10	Information Availability (INFO)	0.767
Q12		
Q15		
Q79		
Q80		
Q81		
Q9	Physical Environment (PE)	0.743
Q37		
Q38		
Q39		
Q16	Employment Development (ED)	0.876
Q33		
Q34		
Q35		
Q36		

Note. Q## = survey item.

the existence of any statistically significant relationships between the model's predictor variables (Employment Development, Physical Environment, and Information Availability) and the criterion variable, Job Satisfaction. In exploring the fourth hypothesis, the effects of Physical Environment on Employment Development, we found the relationship generated a moderate standardized regression estimate of .401 that also achieved statistical significance at a .001 level indicating a predictable and meaningful relationship exists between these two factors. A corresponding r^2 value of .16 indicates that 16% shared variance exists between the factors thus providing a medium or moderate practical effect. The relationship between Physical Environment and Information Availability, our hypothesis five, was likewise positive, significant and, in this case, produced a very substantial regression estimate of .881. The resulting r^2 value of .78 indicates 78% shared variance between the factors thus resulting in a very high practical effect. Finally, the relationship between Information Availability and Employment Development, hypothesis six, also generated a large,

standardized regression estimate of .615 that was significant at a .001 level of significance. The resulting r^2 value of .38 indicates a medium or moderate practical effect.

Table 4 – Standardized Regression Weights and Probabilities

Variable Relationship	Direct Effect	Indirect Effect	Total Effect	Probability (P)
Job Satisfaction <--- Employment Development	.604		.604	.238
Job Satisfaction <--- Information Availability	.140	.371	.511	.669
Job Satisfaction <--- Physical Environment	.250	.692	.943	.242
Information Availability <--- Physical Environment	.881		.881	<.001
Employment Development <--- Information Availability	.615		.615	<.001
Employment Development <--- Physical Environment	.401	.542	.943	<.001

Discussion and Conclusion

The primary purpose of the study was to determine if retention of university staff employees, in this case inferred by the factor Job Satisfaction, was dependent on factors such as Employment Development, Information Availability, and Physical Environment. Surprisingly, none of these factors showed statistical significance. Owen (2006) had found significant relationships exist between training participation and job participation for public-sector employees. Chew and Chan (2008) found that training and development had a significant positive relationship with employee intention to stay. With regard to physical environment, several researchers found a positive relationship existed between that factor and job satisfaction. As previously noted, Earthman and Lemasters (2009) found that teacher morale was positively linked to classroom environment. Likewise, prior research had supported the idea that job satisfaction would be positively related to information availability with studies such as Carriere and Bourque’s (2009) finding that internal communications was an important component of job satisfaction for paramedics.

Then why did this study fail to find strong relationships existed between the predictor variables and criterion variable employed by this study? Several reasons come to mind. First, most of the respondents are well satisfied in their jobs. The mean score of the Job Satisfaction factor was 3.65 out of a possible 5.00. Other considerations outside of the scope of this study may have a stronger influence over employee attitudes regarding job satisfaction. For example, the respondents involved in this study are state employees who traditionally occupy stable jobs with good benefits. They are often working in a school located in their immediate community and may see themselves in a role that serves the greater good for community at large. A qualitative research study would be helpful in exploring these reasons to a much greater extent.

The finding that there exists moderate to large significant and positive relationships among the predictor variables Physical Environment, Employment Development, and Information Availability is much less surprising. Each of these factors could be viewed as an indicator of a progressive, employee-centered work environment. For example, an administration interested in creating an atmosphere that stimulates the flow of

information throughout an organization would create a work environment to facilitate this flow as well as provide employee training intended to encourage conversations and other types of communication.

Implications for Practice

There are two substantive implications for managers derived from this study. First, perceptions of organizational efforts directed towards employee development are positively and significantly affected by the quality of the physical environment. Managers should insure that there exist adequate technology resources to deliver instructional information as well as provide a developmental setting that is well maintained, suitably equipped, and fosters a feeling of organizational community. Second, the quality of information available to employees is affected by the physical environment of the workplace and further affects employee attitudes towards employee development efforts. Once again, we are reminded that management should insure the workplace is adequately equipped with technology resources. Additionally, it is critical that the right information flows to the right people at the right time. Information related to developmental opportunities should be targeted and accomplished in the context of an overall career development plan for each employee. Further, the information available to employees must be perceived as useful and easy to access. Information delivery systems should be adopted, configured, and delivered with the end user in mind.

Limitations of this Study

The primary limitation of the study is the use of an existing database drawn from an established survey instrument for this purpose. The instrument has been administered numerous times in the past but the data generated from the instrument had not been analyzed in this manner before. Table 5 shows the factor scores for the construct variables utilized during this study. These “factor scores” represent the mean item scores of the items that comprise each factor or latent construct.

Table 5 – Factor Scores

	Job Satisfaction	Employment Development	Information Availability	Physical Environment
Number of items	4	5	6	4
Factor Scores (Means)	3.65	3.70	3.66	3.91
Standard Deviation	0.23	0.19	0.25	0.15
Minimum	3.31	3.43	3.37	3.76
Maximum	3.82	3.94	3.99	4.10
Possible Minimum	1	1	1	1
Possible Maximum	5	5	5	5

Examination of these scores shows a lack of variability in them. Almost all of the scores fell between 3 and 4 on a 1 to 5 point scale. Perhaps a homogeneity or uniformity in respondents created a situation where it was

difficult to discover significance where others researchers had found it. As noted in the previous section, further research with this population would be needed to determine why the findings from this work do not match existing models. As this work is presented, the survey instrument is being modified to address these findings and build on the knowledge and questions raised by this research.

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FROM ACADEMIC FREEDOM TO POLITICAL POWER: REDEFINING TENURE IN THE 21ST CENTURY

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In professional career of a professor is bookmarked with envelopes, envelopes that contain undergraduate and graduate school acceptance/rejection letters, comprehensive exam results letters, dissertation defense letters, academic job acceptance/rejection letters, and finally, somewhere in the vicinity of twenty years after the initial college admittance/rejection letters, a penultimate letter concerning tenure. The importance of this letter cannot be stressed enough. Positive news equates (barring any extreme events like financial exigency or moral turpitude) a financially secure job for life. Negative news means either a long, protracted battle (potentially legal) or the probable end of one's career as a full-time professor. There is no more significant milestone or event in the life of a professor than the bestowment of tenure. However, in recent years, tenure-track positions have steadily been

evaporating at colleges and universities.¹ Along with the decreasing number of tenured positions has come the steady drumbeat from the public and even from within the university (generally from high-ranking administrators) to, if not eliminate tenure, then to radically redesign it. To be certain, this movement has met resistance mainly from tenured and tenure-track faculty for some compelling and non-compelling reasons.

However one feels about tenure, there are certain, important facts to consider and assumptions that should proceed from these facts. Most significantly, with over fifty percent of faculty

¹ As Ronald Ehrenberg (2011) illustrates in his article, "Rethinking the Professoriate," not only do full-time faculty comprise barely more than a majority (slightly above 50%) of all full-time professors, "of those full-time professors, only about two-thirds of them are tenured or on the tenure-track" (pp. 101-2). Further, "The 2007 ADE survey figures show that tenure-track faculty now make up only 36 percent of the total instructional work force in English (down from 41 percent in 1997)" (Bartholomae, 2011, p. 9). Therefore, the issue of tenure is largely irrelevant for the majority of all college and university professors.

not in tenure or tenure line positions and with every indication that the percentage of non-tenured faculty will only increase in the coming years, it is my strong belief that we have already crossed the tenure Rubicon. While I do not believe that tenure will be completely eliminated at American colleges and universities, it is all but inevitable that the number of tenure line positions will continue to decrease and an increasing number of institutions will consider alternatives to tenure or radically redesign it. Also, with greater emphasis placed upon institutional accountability and outcomes assessment, along with the general corporatization of the American university, it seems virtually inevitable that tenure will be (and indeed, it has already been) increasingly affected as all of these trends run counter to the principle and practice of tenure which (especially for faculty who have already been promoted to full professor and who do not have post-tenure reviews) promotes individual accountability (which can mean no accountability at all).

Considering the larger picture and seen objectively, the challenges to tenure, while having the potential to be harmful, can also be beneficial for the majority of constituents, including faculty. This paper argues that, especially for teaching oriented institutions (which comprise the majority of colleges and universities in the United States and where tenure is in the greatest jeopardy), the best option is to mobilize and empower faculty through strong unions as unions stand the best chance of not only empowering all faculty (tenured, tenure-track, or fixed term), but they also can unite a majority of faculty while providing strength in

numbers. Even at institutions where tenure remains intact and/or stands a greater chance of remaining intact, this paper argues that faculty need to take the initiative in clarifying and improving the tenure process by developing better and more transparent methods through which to measure effectiveness and ways to reward significant post-tenure accomplishments. What links these positions together, this paper ultimately argues, is a redefinition of tenure not primarily as a beacon safeguarding academic freedom, but rather a means through which faculty can be empowered by reducing the power disequilibrium between them and higher ranking administrators. This approach means largely abandoning the premise that faculty are a particularly distinct professional group that allows them special privileges that virtually every other profession does not offer its employees. It also means redefining or adding clearer pre- and post-tenure performance criteria to the evaluation process, especially in the realm of scholarship, to protect the untenured and to ensure that the tenured continue to perform well in their respective positions. In addition, it means linking those criteria with incentives, and considering alternative approaches to tenure like developing or strengthening existing faculty unions and senates.

Tenure and Academic Freedom

In order to understand the theory and practice of tenure, it is important to examine its purpose and rationale as well as to evaluate whether or not that purpose or rationale is ultimately fulfilled through tenure. The most frequently used argument in defense of tenure is that it is needed to

safeguard academic freedom. In his book, *The Fall of the Faculty*, which decries the recent (mainly in the last twenty years) seeming disempowerment of faculty and the rise of non-academic administrators, Johns Hopkins professor Benjamin Ginsberg (2011) argues, “Since the 1930s, tenure and academic freedom have been synonymous,” and “Without tenure there is no academic freedom” (p. 158). Indeed, this is a position generally endorsed by the AAUP, who state that “academic freedom is recognized as the fundamental principle of our profession” (*History of the AAUP*, para. 2). Along similar lines, Harvard professor and distinguished author of *The Metaphysical Club*, Louis Menand (2010) argues that academic freedom is “the philosophical key to the whole enterprise of higher education” (p. 131). At first glance it seems difficult, if not impossible, to push back against these arguments. For, after all, who but a potentially fascist (administrator) could be against academic freedom? The rhetoric of ‘academic freedom’ is quite powerful, but upon further examination, it is also disconcertingly similar to arguments made to justify wars and colonialism (e.g., to spread freedom or safeguard freedom, we must act against a regime or notion, or we must fight to help make the world safe for democracy).

It is not my intention to compare faculty to colonizers; however, the reductive and simplistic notion equating academic freedom with tenure is misleading and problematic. In theory, ‘academic freedom’ may be an unqualified good, but in practice, it does not exist in any pure form. In addition, it can and has been abused and manipulated for personal, self-involved reasons.

Even if tenure did provide unqualified, positive academic freedom (which, I argue, it does not), since more than half of all professors nationwide do not even have the possibility of becoming tenured, the focus upon tenure does not safeguard freedom at colleges and universities as a whole, however one defines freedom (unless part-time faculty are deemed unworthy of the same ‘academic freedom’ that tenured and tenure-track faculty have or should have). Instead, faculty who want to empower the greatest number of fellow faculty or who want to effect institutional change would best be served by mobilizing faculty into unions or strengthening their respective faculty senates.

Further, it would be naïve to suggest that the tenure and promotion process is objective and impersonal; in fact, at many colleges and universities, the process can seem (and undoubtedly can be) incredibly subjective and personal. Virtually all non-tenured faculty members self-censor to some degree (to a large degree in some cases) when around tenured faculty, especially those who may eventually vote on their tenure and promotion. While this self-censorship can and often does occur in other professions, academia differs in two main ways. First, in academia, while there may be a single most important evaluator (e.g., a Provost, Dean, or Department Chair) who holds the greatest power over a candidate’s application for promotion and tenure, typically, there are a host of evaluators at several different internal and external levels (in addition to the Provost, Dean, and Department Chair). In that sense, a non-tenured faculty member might feel constrained to defer to a large

number of faculty and administrators, some of whom may not agree or may hold grudges against one another. A non-tenured faculty member may feel compelled to choose sides in a hazy academic war on the basis of which side appears to hold the greatest power in the tenure and promotion process. This can, and sometimes does, create an enormous power differential between the tenured and the non-tenured. Such disequilibrium can counteract one of the most frequently cited reasons for tenure: academic freedom. Non-tenured faculty simply do not have anything approaching real academic freedom. This relates to the second primary way academia differs from other professions—in its primacy upon the free, creative expression of thoughts, ideas, and positions. A non-tenured faculty member can feel caught in a bind whereby she or he is expected to be independent, original, creative, and forward thinking in her or his academic pursuits, but she or he may be muted into complacency or subjugation by her or his tenured colleagues and/or administrative supervisors.

To be sure, it has and will continue to be argued that faculty should focus their efforts on safeguarding tenure and, along with it, academic freedom to maximize faculty empowerment. However, it is important to interrogate this premise, beginning with the essential question of what precisely is academic freedom? How does tenure allow for academic freedom and given that other professions do not allow for academic freedom, what ultimately separates academia from other industries and professions? The best place to begin addressing these questions is the American Association of University Professors's (AAUP)

foundational 1940 report on tenure.

Contextualizing this document is important as well as considering whether it is completely applicable to academia in the early twenty-first century. In the report, the AAUP argues that tenure is “a means to certain ends” and that those means consist primarily of “(1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability” (*1940 Statement*, 2006, p. 3). Since, as newly minted recipients of terminal graduate degrees (especially in the Humanities) often painfully realize once they enter the job market, there are far too many applicants for scant tenure or even full-time non-tenured faculty lines at colleges and universities, it is no longer important to maintain tenure in order to “make the profession attractive to men and women of ability” (*1940 Statement*, 2006, pg. 3). While it is possible that, in the absence of tenure, some of the best and brightest potential faculty might reconsider their career options, it would hardly cause a significant dent in the supply of faculty on the academic job market (most of whom, at least in 2013, aren't in a tenure-line position anyhow).

One could go a step further and broaden the AAUP's rationale by arguing that tenure is needed to retain quality faculty. Supporting this assertion, to some degree, is data from the Collaborative on Academic Careers in Higher Education (COACHE) which indicates that only “a relatively small percentage (13 percent) of pretenure faculty report that they will likely leave their institution after achieving tenure there” (Trower, 2010, p. 28).

However, this data does not illustrate the percentage of faculty inclined to stay at the same institution regardless of whether or not they received tenure (for instance, if they were on fixed term contracts instead). Further, included in this majority are faculty who may wish to stay at their home institution after receiving tenure because they want to maintain their power status or because it is the path of least resistance and less will be required of them after achieving tenure. With the AAUP's second main rationale for tenure in question, their first and most frequently cited reason for tenure takes on even greater importance: "freedom of teaching and research and of extramural activities."

To address this rationale, it is important to consider the connotations of the word 'freedom.' 'Freedom' has often been politicized and ironically can be and has been used to stamp out dissent, indirectly censor the views of others, and even to condone violence. Who, after all, could be against academic freedom but an interloping corporate fascists or power hungry administrators aiming to quell the overly political faculty? Yet, before we blindly submit to the preconceived notion that the primary aim of tenure is to safeguard academic freedom, we need to qualify the kinds of 'freedom' or lack thereof that both untenured and tenured faculty have or don't have. Perhaps more importantly, this leads us to the question: Does tenure allow professors to teach courses or course content in a more freeing manner?

Unfortunately, there is no objective, clear answer to this question. At institutions that do not require post-tenure reviews or for faculty who

either do not want to pursue promotion to Professor or who are already at this level, tenured professors may become unconcerned with their student evaluations. This could mean that a tenured professor feels free to become much more or much less rigorous. In my six years as a Department Chair and Director, I have seen both situations occur, from a tenured English Professor who ceased assigning any papers in his literature classes (favoring quicker to grade in-class exams) to a tenured Professor assigning over one-third non-passing grades in her classes. Tenured professors can and have argued that their grade distributions and assignments are their own to design, and Chairs and/or faculty may try to establish departmental guidelines or may try to change the behavior of tenured faculty members. Ultimately, though, there is little one can do to do to compel a tenured faculty member (especially a tenured full Professor) to do something he or she does not want to do short of withholding certain classes, which can lead to discord in a department and/or a messy grievance. As Menand (2010) argues in *The Marketplace of Ideas*, "Simply as a practical matter, experience shows that you cannot dictate to tenured professors, or put their feet to the fire of public opinion, with much hope of success. Administrators come and go, but tenure is forever" (p. 131). This begs the question: Is it ultimately beneficial that faculty may be afforded, through the tenure process, the ability (or something approaching it) to teach whatever they want and set whatever assignments they want?

To address this question, let's consider a situation in which a lackluster tenured faculty

member teaches a Shakespeare class and requires that her or his students only watch the filmed versions of the play (and not read the plays themselves).¹ I believe that the vast majority of faculty would agree that a professor teaching a course in such a way is shirking her or his professional duties. An administrator could try her or his best to use reason or even punitive measures to ensure that this faculty member not do so (e.g., withhold any future Shakespeare classes until significant changes were made in the course content), but there is little to stop the faculty member from continuing such behavior (perhaps more surreptitiously next time) in other classes.

This leads to a series of interrelated, important questions: Where does academic freedom begin and intellectual irresponsibility begin? Should academic freedom of speech have no limits? Would we support a faculty member who argues and promotes societal acceptance of pedophilia? Given the current sexual and racial harassment laws, we know that 'academic freedom' has its limits. It is simply not true that all professors can teach, say, and write anything or anyway they please, and upon further thought, most would agree that it is entirely appropriate to place limits upon speech that is harmful and denigrating, even though there is debate as to what constitutes harmful and

¹ This precise situation actually occurred to me in my first semester as a Department Chair at Nevada State College with one important difference. The instructor was a part-time, non-tenure-track faculty member. When this faculty member showed real no interest in changing her pedagogy when confronted about this specific class, I decided to not assign her another class. However, if this class was taught by a full-time tenured Professor, the situation would have been considerably different (as well as my range of responses as a Department Chair).

denigrating speech. According to the AAUP, when college and university teachers "speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations" (*1940 Statement*, 2006, p. 3). They continue, "As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution" (pp. 3-4). There is a contradiction in the AAUP's argument in that they promote freedom from "censorship and discipline," while simultaneously promoting "appropriate restraint." Restraint and academic freedom are, if not mutually exclusive, then nearly so, which, once again, illustrates the fallacy of the argument suggesting tenure and academic freedom are analogous.

Further, lackluster tenured faculty can become more empowered and emboldened at institutions in which there are no post-tenure reviews. In such circumstances, administrators may merely give up any attempts to change the faculty member's behavior and wait until she or he retires or dies.² This is not to suggest that tenure cannot empower and embolden faculty to develop new courses and to adopt new pedagogy. Indeed, a tenured professor might decide to try teaching new courses or approaches she or he might not have otherwise

² This, in fact, was basically what I was told to do by a high ranking administrator upon beginning my current position in regards to certain tenured faculty considered by administrators and faculty alike to be largely deadwood.

for fear of receiving lower student evaluations. However, she or he may also choose to follow the path of least resistance by teaching the same courses in the same manner repeatedly with little to no changes.

As an example of the former, consider a situation in which a Sociology professor wants to teach a class about the differing perspectives and the social impact of pornography. At first glance, one might assume that only a tenured professor would be willing to teach such a class because only a person with a secured position would be willing to deal with potential backlash from the public, students, other faculty, or even trustees about the subject matter. While it may be true that a tenured professor is better protected, teaching such a class could carry significant consequences even for a tenured professor if charges of sexual harassment arose (for instance, from students in the class). Although it would be riskier for an untenured professor to teach this class, doing so might also bring with it a large spike in student enrollment, interest in pursuing a Sociology degree, and critical attention to the professor, which she or he could then use in her or his tenure portfolio. If it turned out that, in either case, the untenured or tenured faculty member suffered serious consequences for teaching this class, at many institutions, he or she would only have internal recourses (e.g., grievance committees), and as established earlier, such internal recourses may be compromised by faculty who feel beholden to more powerful, higher-ranking administrators who can pressure them. Leaving these possibilities aside, a tenured professor's 'academic freedom' can be

compromised if she or he feels obligated to teach courses that appeal to students, for fear of cancellation. With all of these considerations in mind, it is difficult, if not impossible, to objectively demonstrate that tenure definitely allows professors anything approaching complete academic freedom in their course selections, course content, and pedagogy. Even if it did grant anything approaching complete academic freedom, that same 'freedom' can be abused by less industrious faculty who may cut corners or lose their internal drive, leaving a department with academic deadwood for as long as several decades.

Along similar lines, there is no objective support that tenure will necessarily empower or embolden faculty to pursue more meaningful service or scholarship (after receiving tenure). In fact, tenure (especially at a school without post-tenure reviews) may push a faculty member to cease work on virtually all service and scholarship, leaving both to her or his junior colleagues. In theory, tenure is granted to faculty who demonstrate a consistent, responsible, and even progressively more significant pattern of work production, but, in absence of external incentives, this work may deteriorate, if not vanish subsequent to receiving tenure. Indeed, it is commonplace in academic departments that junior faculty members complete a lion's share of the service, scholarship, and even new teaching preparations. If it is true that a sizeable majority of professors and administrators would like to be able to get rid of "deadwood," as has been established in research

studies,¹ then faculty should,² at the very least, take the lead in reconsidering the tenure process itself since tenure, as it exists in most institutions, basically disallows that possibility.

This is not to suggest that tenure cannot offer faculty important benefits in the realms of service and scholarship. First, in the realm of service, a tenured faculty member might devote more time or energy to issues (especially to difficult issues) which matter to her or him more than for the sake of building his or her portfolio. Further, after being tenured, the faculty member may feel more secure to speak her or his mind in committee meetings, especially during controversial issues. In terms of scholarship, a tenured faculty member may feel emboldened to pursue more unorthodox or eclectic academic projects since she or he no longer has to publish for tenure. All of these scenarios are certainly possible and no doubt occur, but they are only tangentially related to academic freedom. What, then, is directly related to tenure in virtually all cases and what does tenure definitely provide? The answer to this question is simple but crucial: power. With tenure, a professor gains a considerable amount of organizational power and may feel less beholden to 'play nice' and accept teaching assignments given to her or him by a tenured Department Chair or hoisted upon them by

¹ Specifically, according to survey results, "When asked if institutions should be able to get rid of faculty who are "deadwood," even if they have tenure, 69 percent of professors and 85 percent of administrators answered "yes" (Rothman, Kelly-Woessner, and Woessner, 2011, p. 177).

² This process should be led by faculty and not administrators, I would argue, as it is essential that faculty are behind the proposal, and that it not appear hoisted upon them.

their tenured colleagues. With no further need to be acquiescent, a tenured professor may be able to teach more of what she or he wants to on the basis of narrowed power disequilibrium.

Tenure and Political or Organizational Power

One of the less cited and discussed but, I would argue, among the most important reasons to retain tenure is to counteract the power disequilibrium between higher administrators (e.g., the President, Provost, Dean, etc.) and faculty. Virtually every tenure-track faculty member I have known has described things they would do or say if and when they are granted tenure. It's a compelling narrative that tenured faculty members, unshackled by any obligations to be muted among administrators, might, after being tenured, emerge as outspoken and impassioned defenders of faculty rights, and, to be sure, this can occur. However, what can and often does occur is newly tenured members look ahead to an additional promotion or recognition, while fearing retaliation (e.g., undesirable course assignments, a lack of merit or award considerations, and so on). Also, at the conclusion of the exhausting tenure process, a faculty member may have either become burnt out or so individually focused that she or he has come to care only about her or his own personal advancement.

Still, the bestowment of tenure can narrow the power differential between faculty and administrators, and that importance should not be underestimated. In *The Fall of the Faculty*, Ginsberg (2011) makes a compelling argument that, nationwide, while the number and corresponding influence of administrators has increased, the

number and corresponding influence of faculty has decreased. For Ginsberg, not only do “most professors possess surprisingly little influence in their own school’s decision-making processes,” to him, “Power on campus is wielded mainly by administrators whose names and faces are seldom even recognized by students or recalled by alumni” (p. 4). Ginsberg supports his assertions through statistics which indicate that from 1975 to 2005, while there has been a “51% increase in faculty” (mainly non tenure-track), there has been a corresponding “85% increase in administrators,” and a “240% increase in other professionals” (p. 25). While these statistics alone are reason for faculty to be concerned, Ginsberg’s argument rests upon a homogenization and demonization of administrators, who to him, will inevitably perform worse than faculty, and who seek to subjugate the faculty. Institutional warfare aimed at so amorphous a group as all college and university administrators is not only bound to fail, it is unfair to staff who perform essential non-academic functions,¹ who may have very little to no power over higher administrators (let alone over faculty), and who may be poorly compensated for their work. Instead, faculty would be better served if they targeted their efforts and resources towards select administrators, for instance, ones who may hold the greatest amount of power (e.g., Deans,

¹ For instance, would Ginsberg want the positions in Information Systems at his institution to go unfilled or to be terminated? Who, then, would ensure that, as much as possible, the institution’s e-mail and Internet services continue unimpeded? Who would wire the classrooms and ensure that the physical structure of the institution remain working? What faculty member would be equipped, let alone want to do this work?

Provost, even the President) or at administrators who serve a function that either impinges upon the faculty or that faculty could do themselves. For instance, an argument could be made that there is no significant need for a Center for Teaching and Learning and its accompanying staff members in the sense that such a Center could intrude and conflict with a department’s own policies and/or with an instructor’s academic freedom.

I recognize that, as with the term ‘academic freedom,’ the term ‘power’ is ambiguous and hard to concretely define. In his monograph, *Power and Love*, Adam Kahane (2010) defines power as ‘the drive to self-realization’ (p. x). Given that academia tends to be self-involved, individualized, and non-collective, it makes sense that faculty would want the complete self-realization that tenure, especially tenure at institutions without post-tenure review, offers: accountability to virtually no one but one’s self. In his book, *Organizational Power Politics*, Gilbert Fairholm (1993) defines power “as the individual capacity to gain your aims in interrelationships with others, even in the face of their opposition” (p. 16). This kind of leverage is exactly what tenure allows professors: individual agency. Yet, therein is the problem. Individual agency is rarely if ever as strong as collective mobilization, the kind that a union or a very powerful faculty senate can have. While it may be true that, with tenure, an individual stands a greater chance of fulfilling her or his individual goals, fulfilling those individual goals does little to nothing in fostering change at a larger, institutional level. Thereby, inequities continue and the power disequilibrium between higher administrators and

the increasingly disenfranchised faculty is not only perpetuated but even increased.

Power, though, is not merely the extent to which one can get others to do one's bidding; rather, power can be both defensive and proactive. In his book, *The End of Power*, Moises Naim (2013) defines power as "the ability to direct or prevent the current or future actions of other groups and individuals" (p. 23). However, getting what one wants is not a sufficient measure of real power. One can, for instance, fulfill a professional desire by receiving a better office only to be marginalized, isolated, or later to suffer a future demotion or salary reduction. Along these lines, faculty may believe that they have more power after achieving tenure (and promotion), and/or after receiving a salary increase or other perks, only to realize that their perceived 'power' is largely superficial. If we think of power as Robert Greene (2000) does in his book, *The 48 Laws of Power*, as "in many ways a game of appearances" (p. 34), centering around "reputation," it is fine if one's power is superficial as long as most people believe it to be real (p. 37). This does not mean that a person needs to directly exert power over others to cow them into submission, for as James Hillman (1995) argues in his book, *Kinds of Power*, "leadership, charisma or influence" is not only the focus of power but necessary to maintain power (p. 117). A charming person with a compelling sense of humor, for instance, can subtly gain influence and power.¹ There are ways faculty members can become more

¹ A good example of this in contemporary popular culture is Comedy Central's *The Daily Show with Jon Stewart*, which has become a primary source of news for many of its (generally younger) viewers.

powerful in addition to and even in lieu of tenure: through unions, faculty senates, demonstrations, speeches, writing, even humor and charisma. However, to be sure, tenure does not eliminate the power differential between faculty and high ranking administrators (e.g., Deans and Provosts) who may still respond or retaliate against politically active, threatening, or powerful faculty members (e.g., through assigning an inconvenient teaching scheduling, denial of merit pay or sabbatical requests, etc.). If tenure-line and tenured faculty want to have more direct impact on the fate of the college or university, they must work together and use their power effectively.

Using power effectively means examining its purpose and use. For Kahane (2010), power needs to be balanced and integrated with love, which he defines as "the drive to unity" (p. x). It would be naïve and unrealistic to suggest that complete unity is possible at American colleges and universities, as they are composed of competing schools, departments, and constituents with different goals and priorities (academic and financial), yet this does not exclude work that can promote greater unity (e.g., community-based work, interdisciplinary programs, leadership on a university-wide faculty senate, and so on). The problem of power without love or without stipulations is that it can lead to "valuing my self-realization over yours, and then into believing arrogantly that I am more deserving of self-realization even if it impedes yours" (Kahane, 2010, pp. 17-18). It could be argued that, in an environment which has a sizeable power disequilibrium between administrators and faculty, and one in which individual achievements are

valued over collective achievements, not only is there nothing intrinsically wrong with pursuing power that encourages self-realization, that is exactly the goal of any worthy faculty member. The problem with this argument, though, is that it presumes that the academic life exists in a vacuum, that it is not dependent upon market forces and/or upon the financial and educational success of the institution at large. Faculty should avoid succumbing to the Hobbesian view that human life, or in this case, academia is motivated by and determined through competition between other professors and administrators or that academia is basically a war of professors against other professors and administrators.

This is not to suggest that competition has no place at American colleges and universities or that competition doesn't already play a significant role there. Especially in lean financial times, schools, departments, as well as individual professors and administrators can and do fight with one another for resources. In addition, professors are often recognized and given additional benefits (e.g., increased pay, a reduced workload, better courses, a distinguished title, etc.) for their individual accomplishments. In theory, there is nothing wrong with this, but taken too far, such a philosophy can lead to solipsism or an academic Darwinism, whereby only the strongest thrive or even survive (strongest defined not only by traditional academic accomplishments such as scholarship, but also and perhaps even more so, by likeability and perceived power). In the end, this hurts not only the collective power of faculty, but also the college or university as a whole, which, instead of focusing on

collaborating across schools and departments, is then engaged in an internal war for resources and power.

Could there then be such clear moral distinctions in the use of power and could such distinctions be used to guide institutional power at colleges and universities as well as the tenure process itself (or a re-designation of tenure)? In *Organizational Power Politics*, Fairholm (1993) suggests such a moral distinction can be drawn between power used for beneficial or malicious reasons. Further, he defines "good" power as that which is used "for socially developmental purposes" and "bad" power as that used "for personal aggrandizement" (p. xviii). The problem with this simplistic dilemma is that it does not take rationalization into account, nor does it consider how difficult and subjective it can be to evaluate power. If, for instance, a newly tenured faculty member decides to eliminate all of her or his service work in favor of scholarship, she or he could certainly justify it as an act of "good" power in that she or he will (supposedly) use her or his scholarship to further knowledge and to benefit the larger society (students, peers, and the wider community). However, how can these claims ever be measured objectively and why couldn't such work be "personal aggrandizement," whereby the tenured faculty member seeks mainly to advance his or her career? This presents a seeming contradiction. Power without ethics can be damaging and destructive, yet there are no objective ethical measurements through which to evaluate power. According to Fairholm (1993), power "is the individual capacity of one person to

get their way, even in the face of opposition” (p. 7). It is this romantic, but not always realistic depiction of tenure as granter of academic freedom that faculty gravitate towards, but we, as faculty, must stop ourselves from making such a facile connection and consider whether our real intention is to increase and then safeguard our personal or professional power.¹

Tenure, Academic Exceptionalism, and Other Critiques

Especially in the past fifteen years and possibly even more so since the 2008 economic downturn, criticism of academic tenure has flourished, especially by those outside the academy who often object to what they perceive as elitism or academic exceptionalism. It is hard to imagine the general public motivated enough to care about the erosion or even the eventual abolition of tenure when such job security almost never opens to anyone out of academia. In addition, exceptionalism can even be seen in the AAUP’s 1970 interpretive comments concerning tenure, in which they claim that they “have long recognized that membership in the academic profession carries with it special responsibilities” (1940 Statement, 2006, p. 5). Implicit in this statement is the assumption that college teaching is distinct from other professions. But why should university and college professors be

¹ As a formerly tenured professor (at my previous institution) and a soon-to-be tenured professor at my new institution, it is a question I often pose to myself, and I have concluded that the most important features of having tenure are 1) professional power; and 2) job security. Professional power is ultimately more important than job security because, ultimately, one cannot have job security without professional power.

afforded job security for life, when virtually no other professions provide this, especially in relatively unstable economic times? Indeed, as Thomas Gould (2011) argues in his article, “Fear and Loathing in the Fog,” higher administrators, state legislative bodies, and the general public tend to believe that “tenure is an unaffordable privilege for a few” (p. 39). In addition, while academia does thrive on the free expression of ideas, so do virtually all industries, it could be argued.

As an example, one can consider the financial industry. Those who work in this field do not have anything approaching tenure; yet, gross financial improprieties occur that might otherwise be prevented if certain workers were better protected through a system akin to tenure. In such a system, a worker like Greg Smith (author of the much discussed essay, “Why I Am Leaving Goldman Sacks” and subsequent book, *Why I Left Goldman Sacks*) might have felt more empowered to decry what he perceived to be Goldman’s unethical behavior, crystallized by their goal “to trade whatever will bring the biggest profit to Goldman” (2012, par. 9). Perhaps, with something approaching tenure, workers like Smith might have decried the system of subprime mortgages that helped lead to the 2008 economic crash. To be sure, all of these events and the affiliated literature could and should be studied freely at colleges and universities. However, should the free expression of ideas only be safeguarded for higher education as opposed to other private or public industries? The AAUP argues that “Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to

its students and to society" (1940 Statement, 2006, p. 3). This may be true, but as has been established earlier, not only do tenured professors (which, again, comprise a minority of all faculty) not have complete academic freedom, tenured faculty may shirk their "obligations."

Tenure at Research and Teaching Oriented Institutions

To address what to do with deadwood faculty as well as to complicate the relative need for tenure at colleges and universities, divisions between research and teaching oriented institutions should be considered. Mark Taylor (2010), in his book, *Crisis on Campus: A Bold Plan for Reforming Our Colleges and Universities* argues, "to be able to adapt to a rapidly changing world, it is essential for higher educational institutions to maintain flexible workforces. Tenure does not further that goal" (p. 209). However, the problem with Taylor's assertion is that it does not take into account the differences between research and teaching oriented institutions. It is not, for instance, in Harvard or Yale's best interest "to maintain flexible workforces." Rather, high-level research oriented institutions tend to build their endowments, grants, graduate students, and national reputations on the basis of the faculty they retain. In a system without tenure, there may be little to prevent a faculty member who is offered more perks from leaving an institution at any point in her or his career.¹ The

¹ While this can still occur within the current tenure system, I would argue that it would become more prevalent at institutions that do not offer tenure, especially if, in the future, for-profits and MOOC's become even more powerful, which could lead to a system of extremely well-paid academic stars. Further,

issue becomes murkier when considering teaching oriented institutions. For them, a better case can be made that having "flexible workforces" are helpful because prospective students tend not to choose the institution on the basis of specific faculty, but upon other factors, such as general teaching excellence, campus resources, location, and so on. For these institutions, the emphasis should be placed on teaching and the question that needs to be asked is whether tenure ensures that an institution provides a higher level of teaching excellence. In addition, what Taylor neglects to consider is that a flexible workforce currently comprises a near-majority and in some cases an actual majority of faculty at colleges and universities. For this faculty, 'flexibility' often means that they are stretched thin, teaching at several different institutions in any given semester, and having divided allegiances to each.

At predominately teaching oriented institutions that offer Bachelors and possibly Masters degrees (but not any or many Doctorates), tenure is in its greatest danger of eroding, and standards for tenure and promotion are often hazier and harder to justify. For instance, the vast majority of teaching oriented four-year institutions require some amount of scholarship during a faculty member's probationary period. To those involved in academia, this may seem so obvious and so basic a given that it is not worth mentioning. However, not only can scholarship at teaching orientated

after being at an institution for the approximate six years of the pre-tenure probationary period, faculty may feel emotionally, professionally, and personally tied to the institution and to the community. Thereby, they may be less apt to consider leaving.

institutions be of questionable worth to the institution and to students, teaching institutions that require scholarship, especially a significant amount of scholarship, provide a perfect vantage point through which to investigate the relative worth of tenure as well as the appropriate means through which to evaluate it.

First, it is important to discern what is gained by the production of scholarship at teaching oriented institutions. To most disciplines, scholarship is the mark of expertise and distinction. In addition, for teaching oriented four-year colleges and universities, the production of scholarship may also distinguish their institutions from community colleges, which typically do not require scholarship for tenure. In *The Fall of the Faculty*, Ginsberg (2011) argues that “for most, scholarship is the purpose of academic life, and the university primarily serves as a useful instrument to promote that purpose” (p. 167). However, Ginsberg, a faculty member at Johns Hopkins University, generalizes his experiences at a preeminent research institution to other institutions, the vast majority of which are unlike Johns Hopkins, in that they tend to focus more upon teaching and upon the students themselves.¹ Teaching oriented

¹ Further, Ginsberg fails to historicize the importance of scholarship as a relatively recent phenomenon. As Mark Taylor (2010) explains, “When the job market dried up in the early 1970s and scores of people were pursuing each position, the publication of articles and books became an easy way to discriminate among the candidates” (pp. 181-82). Whereas Taylor believes that “the emphasis on research and publication in the hiring, promotion and tenure of faculty members is a relatively recent phenomenon,” I would argue that its importance significantly increased but was still important to faculty prior to the 1970s (p. 182).

institutions that do place a significant emphasis on scholarship may do so as a means of encouraging the college or university’s pursuit of Tier 1 status (a Doctorate granting institution), Tier 2 status (a Masters granting institution), or as a more esteemed undergraduate institution. After all, there aren’t many colleges or universities that would want to be more like Harvard and Yale as opposed to the College of the Catskills. It is up to each institution if they want to pursue such a re-classification, but the pursuit of this could come at a cost to current students. For instance, whereas it might make perfect sense for a Professor of Medieval English Literature to write an esoteric book on the pagan influences on *Piers Plowman* at a highly ranked research institution that can afford to teach specialized classes to undergraduate and graduate English majors who may come into the program with an already established interest in this area, such scholarship may not be particularly helpful and might even be counter-productive at a teaching oriented institution in which a Professor specializing in Medieval English Literature does not have a set group of already interested students and will presumably teach lower division courses like English Composition and Introduction to Literature. Scholarship that either has a pedagogical or community focus, in these cases is generally more helpful to the institution and to its constituents.

Engaged Scholarship, Teaching, and Service

One way that the tenure process has been re-imagined is through the establishment and promotion of new categories of ‘engaged’ work, focusing particularly upon engaged scholarship.

Implicit in the idea behind engaged scholarship is the belief that a significant amount of currently published scholarship is anything but engaged. Rather, it is thought to be esoteric and ultimately without clear benefit to students or to the college or university. Engaged scholarship is not merely work by so called 'public scholars,' although public scholars may indeed produce engaged scholarship.¹ Whereas the public scholar is one who tends to write on subjects more accessible to the general public (e.g., major public figures like Abraham Lincoln, major public issues like race in the contemporary United States, etc.) and who often appear as an expert on television news and talk shows (e.g., Doris Kerns Goodwin, Cornel West, Michael Eric Dyson, and Douglas Brinkley), the engaged scholar's work has direct social or community impact at least in theory (practically measuring impact can be challenging) whereas the scholar him or herself may be nearly or completely unrecognizable to most. Not many professors can become public scholars, for as Buck Goldstein and Holden Thorp (2010) argue in their book *Engines of Innovation*, "Only a few academics have the skills required to connect with a mass audience" (p. 98). However, all professors are at least capable of producing some kind of engaged scholarship, and the time to do so is never better than now. According to Menand (2010), we can trace a movement of engaged, interdisciplinary work

¹ In their book, *Engines of Innovation: The Entrepreneurial University in the Twenty-First Century*, Buck Goldstein and Holden Thorp (2010) describe public scholars as aiming "at a broad audience" (p. 98). In addition, they argue that the scholarly work of public scholars is marked more by its popularity, currency, and relevance as opposed to its academic credentials (p. 98).

spearheaded by Humanities professors, beginning in the 1970s. Indeed, as Menand alludes to, the emergence of Ethnic and Women's Studies in particular, have reenergized Humanities curriculums nationwide.² At the same time, as Menand also illustrates, these new approaches and programs have not increased enrollment in Humanities programs which have declined nationally since the 1970s.³ It is possible that the newly engaged work conducted by Humanities professors has helped stave off additional declines or that these new Interdisciplinary programs Menand alludes to (e.g., Women's Studies and Ethnic Studies) are considered as part of the Social Sciences. In addition, it is possible that Natural and Social Sciences faculties are engaged in even more engaged scholarship than Humanities faculty. Regardless, much more can and should be done to make disciplines in the traditional Liberal Arts and Sciences more engaged and more immediate,

² Specifically, Menand (2010) writes, "What the humanities experienced between 1970 and 1990 was the intellectual and institutional equivalent of a revolution. Despite what some critics claimed, the humanities did not make themselves irrelevant by this transformation. On the contrary: the humanities helped to make the rest of the academic world alive to issues surrounding objectivity and interpretation, and to the significance of racial and gender difference" (p. 91).

³ He further explains, "The biggest undergraduate major by far in the United States is business. Twenty-two percent of all bachelor's degrees are awarded in that field. Ten percent of all bachelor's degrees are awarded in education. Seven percent in the health professions... Only 4 percent of college graduates major in English. Just 2 percent major in history. In fact, the proportion of undergraduate degrees awarded annually in the liberal arts and sciences has been declining for a hundred years, apart from a brief rise between 1955 and 1970, which was a period of rapidly increasing enrollments and national economic growth" (Menand, 2010, p. 54).

whether that might be through community- based learning courses, internships, or through others means.

Further, in a culture that prizes more immediate communication in shorter, Twitter-like, easy to digest blurbs, it is inevitable that the purpose, need, and utility of academic scholarship, especially more abstract scholarship, in determining tenure (if not also as a culminating project like a thesis or dissertation for an advanced degree) will be examined and questioned. Also, if the movement for institutional accountability continues (driven by accreditors and the general public), it is quite possible that faculty members will be asked to justify the utility and application of their research and scholarship beyond themselves and their peers. Would merely adding to the existing field of scholarship by providing a new perspective on an established author (e.g., a semiotic analysis of John Steinbeck's fiction) really count? As it stands, as long as the faculty member publishes in a reputable, peer-reviewed journal or with a strong academic or commercial press, it would most certainly count towards tenure and promotion, and there would be little more a professor would need to do to establish or demonstrate her or his professional expertise. Yet, this external acknowledgment provides no assurance that the published work contributed at all to students, the department, or the institution. Scholarship for the sake of scholarship or for the sake of tenure or promotion, in the end, does little to nothing to further anyone's interest except the writer/stakeholder her or himself. It could be argued that such scholarship does validate the

published author in the eyes of her or his peers, for if other knowledgeable peers determine that an article or book is worth publishing then one might conclude that the author has something significant to contribute to the field. After all, it would appear that he or she has been validated as an expert by other scholarly experts. This may be so, but it is not necessary the case, as not only can it be sometimes difficult to discern whether a published work has been peer-reviewed or not, the peer-review process itself may be less than rigorous.¹ Even if it can be ascertained that the work has gone through a rigorous and significant peer review process, it does not mean that the contribution is any more or less valuable to the institution or to its students. These issues of peer review and engaged scholarship have only and will only continue to mushroom as an increasing number of 'academic' journals move or even originate online, along with the increasing demand for college and university accountability.

To be sure, one way professors have been justifying more seemingly esoteric research is by connecting their research to their teaching, and hence, the creation of categories like engaged teaching and the scholarship of teaching. By itself,

¹ For more on this, see Thomas Gould's (2011) article "Fear and Loathing in the Fog: The Perceived (and Persistent) Vagaries of Tenure Standards Among Mass Communication Professors" (*Publishing Research Quarterly*, 27(1), 36-53). Further, journals may claim to be peer-reviewed only to be peer-reviewed (if at all) in only the most basic sense, in that there might be a one person 'review board' with an advanced degree who might be willing to accept virtually anything as long as the contributor pays a certain fee. Peer-reviewed work may generally be of higher quality than non-peer-reviewed articles, but that may not always be the case, and to be sure, the peer-review process can vary significantly from organization to organization.

connecting scholarship to teaching does not necessarily mean anything though. Any published writer can make adjustments to existing courses or even develop a completely new course on the basis of her or his scholarship and not really accomplish anything noteworthy. For instance, if a person published a book about animals in literature, she or he could develop a corresponding course or module within an existing course that incorporates her or his work or perspective. Yet, would this be worthwhile for students, the department, or the institution? This question of intellectual or social impact is not often considered, especially in my field, the Humanities. Yet, I would argue, it needs to be considered if academic programs wish to make themselves more useful and relevant in the twenty-first century.

Too often, scholarship promotes the kind of specialization that produces work only usable for graduate students and/or seminars. As many of those who pursue graduate degrees in a discipline aim to become teachers and the majority of those who do obtain full-time academic positions will find themselves not at a research but at a teaching orientated institution, this kind of specialized and esoteric academic scholarship can be insular and self-perpetuating. In his article, "Teaching On and Off the Tenure Track," David Bartholomae (2011) argues that not only should teaching and research be connected more often, instructors should focus upon "lower-division" classes and "general education" (p. 26). Given that most graduate students will end up teaching these classes in their post-graduate careers, Bartholomae's utilitarian argument, at least in practice, could produce the

greatest positive effect on the greatest number of people. To be sure, there is more to quality scholarship and teaching than professional, social, or community impact (which can be difficult to measure objectively) but, I would argue, it ought to be considered as part of the evaluation or tenure process for faculty at colleges and universities. This does not mean that faculty must leave the physical confines of the university, although such community building work should be encouraged. Another way to demonstrate impact is through interdisciplinary work at colleges and universities. For Menand (2010), "The most important intellectual development in the academy in the twenty-first century has to do with the relationship between the life-sciences—particularly neurobiology, genetics, and psychology—to fields outside the natural sciences, such as philosophy, economics, and literary studies" (p. 19). Indeed, this and other interdisciplinary work can have great impact in changing the academic curriculum, in producing new, valuable and concrete knowledge or even opening up professions or career paths for students. For instance, interdisciplinary work concerning the ethics of health care might help establish a new, vibrant program in Medicine and Ethics and could involve the community through the establishment of an ethics board at a local hospital.

Engaged work, like the example above, especially engaged scholarship, can and should be incorporated into the evaluation process for tenure, especially at teaching oriented institutions. In addition, it can even be integrated into the promotion process (if not the tenure process) at research oriented institutions as University of North

Carolina (UNC) professor John McGowan (2010) argues in his essay, "An Immodest Proposal." For McGowan, engaged scholarship is work that is of interest to and/or affects the larger community beyond the college or university. Such work should also present "a larger narrative that says the university contributes to the public good" (p. 413). This narrative, along with the scholarship itself, could then address questions of utility and accountability that are bound to increase in the coming years at colleges and universities. This may sound perfectly reasonable, but what exactly would engaged scholarship look like, one might wonder? For McGowan, it would include work normally designated as service, such as "creating and overseeing curricular reforms, creating programs that bring the university's expertise to wider audiences, working with external groups to address issues like dropout rates and environmental concerns, and serving as departmental chairs or directors of programs" (pp. 417-18). McGowan argues that this kind of community based engaged work should be used mainly for the promotion process (from Associate Professor to Professor) rather than for tenure. In addition to a research oriented institution like UNC, I think that such criteria should be used as part of the tenure process at teaching oriented institutions, which comprise a majority of all colleges and universities in the United States. Further, including some kind of community based review on promotion and tenure cases could help involve the public in the university community and could help ensure that the college or university adequately considers the opinions of its constituents. This is important in the sense that

if, for instance, a professor claims that her or his work on social justice had a significant impact upon an area's Hispanic population, an unbiased member (or members) of that community would be in a prime position to comment.

Instead of creating programs with little to no community buy-in or impact, faculty would then feel more encouraged to go beyond her or his discipline and/or institution. A faculty member interested in sustainability might, for instance, be encouraged to involve the community through public lectures or through work that directly involves them. New undergraduate or graduate programs would also benefit from community involvement as such involvement could help determine their scope and focus, thereby leading to an increase in enrollment. This does not mean a faculty member would be beholden to her or his community, but it would provide an impetus to involve the community in the process and the work itself at the college or university, which often goes unnoticed by the public.

Redefining the Tenure Process

Determining and clarifying in writing the qualities of engaged scholarship (or excellence in teaching and service) as well as how they are to be measured can help improve the tenure process at institutions that lack this kind of clarity or transparency. Vague standards leave room for interpretation which exacerbates the power disequilibrium between non-tenured faculty and tenured faculty and/or administrators. While more specific or even exact standards can have drawbacks in that it can be difficult to objectify and

evaluate teaching, scholarship, and service in a concrete manner, in the end, having such standards promotes transparency and equity. Further, one can be more specific in academic standards and still allow for some flexibility. For instance, in evaluating service, a college or university could set as a minimum four substantiated and meaningful contributions to the department, college, and university each academic year. The institution may define these contributions as committee work, advising, and so on. The tenure-track faculty member would have to demonstrate how she or he contributed meaningfully to each service commitment. The institution could also allow for double counting an especially meaningful or time consuming service commitment (e.g., chairing a job search committee) or even fractionally counting less significant but still meaningful service contributions (e.g., participating at an open house for prospective college students).

This kind of transparency and flexibility is much better than maintaining vague standards for tenure, which leaves open a much greater chance of leading to inequities, miscommunications, and even discrimination. As a case study, consider the current tenure standards at my home institution, Fairleigh Dickinson University (FDU), as written in the Faculty Handbook. The Faculty Handbook merely defines the criteria for teaching as “Demonstrated high level of teaching effectiveness and high academic standards” (*Faculty Handbook*, 2012, p. 12). There is no more clarity provided as to how “teaching effectiveness” is to be demonstrated or measured nor as to how “high academic standards” are to be demonstrated or measured.

This means that a host of different interpretations may be applied to a specific evaluation. For instance, one reviewer may evaluate a candidate almost exclusively upon her or his student teaching evaluations, whereas another may use her or his grading distribution, and yet another may scrutinize her or his syllabi for evidence of perceived academic rigor. It is not difficult to see how reviewers with an agenda (either for or against the candidate) can tailor a review to their personal ends. The FDU Faculty Handbook is not clearer when it comes to service as there, it only clarifies its criteria with the vague and redundant, “Service to the University” (*Faculty Handbook*, 2012, p. 13). Once again, there is no indication how service is to be measured nor how much (or what kind of) service a tenure-track faculty member should complete during her or his probationary period. This can, of course, lead to conflicting opinions and interpretations by evaluators, which may prove detrimental to tenure-track faculty.

Perhaps quite tellingly, given how faculty can equate scholarship with expertise and prestige, the Handbook provides a more lengthy description of the criteria for Scholarship. Specifically, the criteria is “Demonstrated continuing professional growth in addition to completion of the terminal degree normally required for teaching in the field, including evidence of continuing preparation, study, research, publication, or other scholarly or creative activity appropriate to the discipline” (*Faculty Handbook*, 2012, p. 12). While this is a longer description of the criteria, it is not necessarily more helpful. “Professional growth” is never defined and the list of criteria beginning with “continuing preparation”

suggests (given the 'or' towards the end of the sentence) that scholarship is not really necessary for tenure. Rather, if a candidate provides evidence of "continuing preparation," or even "continuing study," that would be sufficient according to the criteria. The problem is that such criteria are misleading when the actual standards for scholarship are significantly more rigorous.¹ While there is nothing intrinsically wrong with rigorous criteria, there is something seriously wrong with misleading and/or overly vague criteria that allows for such subjectivity. As much as faculty may like to think otherwise, we are not immune to individual biases and potential corruption. Indeed, a recent study of tenure-track faculty members suggests that not only the lingering presence of sexism and racism at colleges and universities but also discrimination against female and minority tenure-track faculty.² Consequently, there is a great need

¹ According to a recent meeting, higher administrators and a college tenure committee suggested that a tenure-track faculty member in the Humanities would need at least five or six peer reviewed journal articles or a peer-reviewed monograph to qualify for promotion and tenure.

² In their article, "Career Stage Differences in Pre-Tenure Track Faculty Perceptions of Professional and Personal Relationships with Colleagues," Luis Ponjuan, Valerie Martin Conley, and Cathy Trower (2011) conducted a study involving over 1500 faculty members to gauge bias and potential discrimination in the tenure process. This study concluded that a significant percentage of female and minority faculty members felt marginalized by their predominately male, white senior colleagues "despite controlling for the other independent variables" (pp. 330-31).

for clear, objective standards for tenure and promotion as these criteria can protect faculty from potentially capricious actions.

Faculty Unions and Tenure

In the face of what appears to be still ongoing discrimination (or at least the perception of it) at colleges and universities, one viable option to empower faculty is through strong unions. According to the Chronicle of Higher Education, as of 2012, "about a fourth of the nation's full-time faculty members and about a fifth of part-time faculty are now represented by collective-bargaining units" (Schmidt, 2012, "Unions for Faculty," p. A23). Some faculty belong to state-wide unions (e.g, California, Nevada, etc.) while other faculty may be involved in institutionally specific unions (e.g., University of California Lecturers union), while still others may be precluded from establishing or joining unions (e.g., my home institution, Fairleigh Dickinson University). At institutions without unions or without a strong union, tenure matters considerably, as without it, or if a tenure-track instructor is denied tenure (or a promotion), there is little recourse other than internal grievance committees, typically composed of faculty and staff who may themselves feel beholden to comply with the desires of higher administrators, thereby leaving the grieving faculty member no other option than to pursue legal recourse through her or his own means. Many faculty members lack the financial resources to do so, and if even they do, their legal representation may be no match compared to that of the college or university. In addition, in most circumstances, the

college or university will inevitably have more money to expend than the grieving faculty member. In such environments, tenure is truly needed to help protect faculty as it can help safeguard faculty from unfair dismissal and offer additional protection beyond legal means. However, the irony is that, currently, faculty members most in need of additional legal protection are those who have unjustly been denied tenure or those who are untenured. Even at institutions that have successfully safeguarded tenure, this is one significant reason why unions can be of tremendous help to faculty.

I am well aware that, in the past few years, there has emerged a political backlash against unions, perhaps best crystallized by Wisconsin Governor Scott Walker's strongly critiqued union-busting legislation in 2011. However, on the brighter side, as Gary Rhoades (2011) argues in his article, "Faculty Unions, Business Models, and the Academy's Future," in recent years, there has "a greater level of interest in unionizing" (p. 21). There is, however, some debate as to how faculty unions should be constituted. One ongoing area for debate is whether full- and part-time faculty should be represented in the same union since the interests of one group may be at odds with the other. For instance, part-time faculty may not be interested in lobbying for more full-time faculty positions as such positions may imperil their own part-time work (unless they may be considered for the full-time position themselves). In addition, some who may qualify for representation under the faculty union (e.g., Department Chairs) may be in a supervisory position over part-time faculty. In

addition, full-time faculty are generally in a more powerful position than part-time faculty; therefore, the voices of part-time faculty may be muffled in a union. While these are valid reservations, it is important to keep in mind that there is also a wide power differential between tenured and non-tenured full-time faculty, and both groups are represented equally and collectively in faculty unions. It is my position that the greatest power for faculty lies in numbers and full- and part-time faculty need to realize that they are dependent upon one another. Not only are many full-time faculty positions contingent upon the presence of lower paying, typically non-benefit granting part-time positions, part-time faculty (who teach a large number of courses at most colleges and universities) play a significant role in educating undergraduates as well as drawing prospective majors (or scaring them away). Further, as Rhoades (2011) argues, unions are "a valuable counter to the balkanization of faculty lives and careers that has accompanied the advent of the entrepreneurial university and that is promoted by accountability models that turn departments and individual faculty members into cost centers" (p. 26).

Some argue that unions should not exist at institutions that offer tenure to their faculty. However, since most faculty are not tenured even at tenure-granting institutions, we should not be persuaded by this argument. In addition, with tenure eroding and with tenure, as it exists, not adequately protecting tenure-track faculty, faculty unions can play a significant role in the lives of many otherwise at risk faculty. Critics may point to studies that suggest that "many faculty members

work without union contracts without feeling particularly exploited” (Schmidt, 2011, “What Good Do,” p. A1). However, such studies may only reveal how individualized faculty have become because of the tenure process itself and such studies may not include the scores of faculty who have already been denied tenure or who have left precisely because they felt exploited. Even if unions may not influence the tenure process as Peter Schmidt (2011) argues in “What Good Do Faculty Unions Do?” they can certainly help empower faculty negotiate for salary raises and to have more voice in administrative appointments and curricular decisions (p. A3).

Conclusion

Currently, the future of tenure (as it currently exists) in academia at American colleges and universities does not look particularly bright. As a recent Gallop Poll conducted for Inside Higher Education indicates, almost two-thirds of Provosts prefer long-term contracts over tenure (Jaschik, 2013, para. 9). To be sure, complicating the matter has been the growth of for-profit institutions, which tend to be hostile to tenure, as well as the general corporatization of colleges and universities nationwide. With sufficient time, many colleges and universities (non-profit) may follow the University of Phoenix model which disallows tenure, evaluates faculty “on specific performance criteria,” and compromises academic freedom by mandating that faculty initially take their “four-week certification program,” which focuses on “the learning environment and skills for facilitating discussion-oriented classes,” as well as their

“proven teaching techniques, along with our policies and procedures” (University of Phoenix, 2013a). Indeed, the fact that the University of Phoenix does not even require their prospective faculty to have any teaching experience at all is alarming and presumably can be attributed to their desire to have more docile instructors not familiar with academic freedom, not confident enough in their own abilities, and ultimately easier to control (University of Phoenix, 2013b). Further, in a buyer’s market in which there are a glut of potential faculty with advanced degrees, most institutions can afford to be picky, and, in the face of competition from the for-profit institutions, the MOOC’s, and from other colleges and universities, it is hard to imagine that tenure, in its present shape and form, will continue to exist unaltered in the coming decades.

All of these developments, as alarming as they may be, should not compel faculty to merely draw a line in the sand that attempts to safeguard tenure as it currently exists and attempts to increase the number of tenure-line positions. Such an approach, I believe, not only is bound to fail in the long run, it glosses over serious and significant problems in the tenure process and clings to the, at best, partially convincing argument that academic freedom is predicated by tenure. Instead, faculty should take the lead in redefining and reclassifying the tenure process where it appears to have the best chance of surviving, while strengthening existing faculty unions or attempting to inaugurate new unions. If faculty take control of what I believe to be the inevitably increasing push back against tenure, then they will best be positioned to be in a stronger role of, if not dictating the terms of their employment,

than at least negotiating better terms of their employment with higher ranking administrators, while playing a larger role as influential, powerful stakeholders in the future of their college or university.

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SMARTPHONES IN THE CLASSROOM: UNIVERSITY FACULTY MEMBERS' EXPERIENCES

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The need for people to connect with others frequently is apparent in our society (Turkle, 2006). People use cellphones or smartphones in theaters, restaurants, airplanes, at ball games, and rest rooms to call friends, text friends, surf the Web, visit social sites, and so forth. People attach themselves to their communication devices at all times (Turkle, 2006).

This study examined one aspect of this multi-faceted much larger societal theoretical concept of technological connectivity; namely, students need to connect with others during class time. Students' need to keep in touch with friends using smartphones during class time hinders the learning experience. Some students text, visit social sites, and surf the Web during class time. Contact may also occur during examinations. It is important to understand professors' experiences with students using smartphones during class time in order to gain insight into this phenomenon.

Turkle (2012) pointed out people value control regarding where they focus their attention. Students value where they focus their attention. This includes the use of smartphones during class time. Some students use their smartphones during class time to enhance learning. For example, some students use their smartphones as computers to look up relevant information pertaining to the lesson, as cameras to take pictures of information on the blackboard or screen, as calculators, and so forth. However, some students use their smartphones during class time for personal use not related to learning.

Tindell and Bohlander (2012) surveyed 269 college students to determine their use of cell phones in the classroom. They found the majority of students texted others during class time and a minority texted during an exam at least once. They also found that students believe instructors do not realize the extent of texting and other smartphone activities students engage in during class time. Froese et al. (2012) found students expect texting during classes. Clayson and Haley (2012) found students received and sent texts during class

time. Students believed they could listen to lectures and text at the same time. This was not so and they earned lower grades.

Synnott (2012) surveyed 129 students at a mid-sized public university in New England. The study's focus was on students' use of smartphones during class time and their perceptions with regard to their classmates' use of smartphones concerning: (a) texting, (b) surfing the Web, (c) visiting social sites, and (d) leaving the classroom to take calls. He found all students do engage in these activities during class time to some degree. He also found that students misperceive that their peers use their phones more than they do themselves. These misperceptions may result in students increasing their use of smartphones during class time to be like their peers.

Burns and Lohenry (2010) found the majority of students and faculty believed that cell phones were distracting during class. These personal behaviors in the context of teaching and learning often annoy professors (Jenkins, 2011). This is not the case for all professors of course. Massimini and Peterson (2009) found students' use of smartphones resulted in tardiness. Tardiness results in negative consequences on the learning experience for the late students and the students interrupted by this behavior. Dzubak (2012) found interruptions during the learning process inhibit knowledge acquisition. Another study found students who experienced a ringing smartphone during a video presentation performed poorly compared to students in a control group who did not experience ringing phones (End, Worthman, Mathews, & Wetterau, 2010).

These studies show that students' smartphone use during class time is common, disrupts the learning process, and results in lower grades for students engaged in these activities. Research on this evolving topic is limited, mainly concerning professors' personal experiences. Also, research in this area needs frequent updating because the proliferation of new technology is growing at an exponential rate.

The research design for this study is exploratory in nature (Borg & Gall, 1989). Three research questions guided the study. First, do professors believe students' smart phone use during class time disrupts or enhances the learning process? Second, do professors have personal smartphone policies regarding class time? Finally, do professors perceive utility in a campus-wide policy regarding students' cellphone and smartphone use during class?

Methodology

Participants

A random sample from the population of professors at a mid-sized public university in New England provides the data for analysis. The sampling process followed the systematic sampling technique (Hinkle, Wiersma, & Jurs, 1988). The first step was to determine the sample size and the sampling fraction (Hinkle et al., 1988). The selected sample size for this study was one-third of the population of professors (i.e., 124 professors) at the University. The sampling fraction is the ratio of the sample size to the population size (Hinkle et al., 1988). The sampling fraction for this study was $124/411 = 3.02$. The next step was to select a

number randomly that was smaller than three. The number two was selected. The second name on the list was the first name selected from the list (Borg & Gall, 1989). Next, every third name on the list was selected until the list was exhausted. There was no possibility of periodicity in this list, "that is, every n th person on the list shares a characteristic that is not shared by the entire population" (Borg & Gall 1989, p. 224).

Procedures

The selected professors received invitations to participate in the study via email. Each professor received a cover letter explaining the study and a questionnaire. Professors had the option to email or mail their responses. Professors received a follow-up email one month later. Thirty-two professors (i.e., 18 females, 14 males, 17 full-time, 15 part-time, 10 had tenure, 20 did not have tenure) returned questionnaires. This represents a 25.8% response rate.

Instrument

The questionnaire included two sections. First, participants were asked to provide information regarding (a) gender, (b) employment status, that is full-time or part-time; and (c) tenure. One-way Analysis of Variance using SPSS Version 19.0 was employed to determine if significant differences existed among groups.

The second section contains the following six statements: (a) students use smartphones during class time to text, email, visit social sites; (b) students leave the classroom during class time to take calls; (c) students use smartphones during class time to enhance the learning process; (d) students are informed of my policy regarding the use of cell phones during class time verbally; (e) students are informed of my policy regarding the use of smartphones during class time in writing using syllabi; and (f) the University should develop a campus-wide policy regarding students' use of smartphones during class time. Responses were measured using Likert scales (i.e., 1 = strongly agree, 2 = agree, 3 = neutral, 4 = disagree, and 5 = strongly disagree). Frequencies were developed using SPSS Version 19.0

Results/Findings

All outliers were the result of inaccurate data entry and corrected. One-way ANOVAs were used to determine if significant differences existed among members of the following groups: (a) gender, (b) employment status (i.e., full-time, or part-time), and (c) tenure. Shorthand terms for the six statements are (a) Students Text stands for students use smartphones during class time to text, email, visit social sites; (b) Students Leave stands for students leave the classroom during class time to take calls; (c) Phones Enhance Learning stands for students use smartphones during class time to enhance the learning process; (d) Verbal Policy stands for students are verbally informed of my policy regarding the use of cell phones during class time; (e) Written Policy stands for students are informed of my policy regarding the use of smartphones during

class time in writing using syllabi; and (f) Campus Policy stands for the University should develop a campus-wide policy regarding students' use of smartphones during class time.

Analysis of Variance Summaries for gender, employment status, and tenure related to the six statements are below. The results showed a significant difference between male professors and female professors for Student Text. Male professors scored 3.2500 on the five point Likert scale or approximately neutral while female professors scored 1.7059 or approximately between strongly agreed or agreed. The results showed a significant difference between male professors and female professors for Students Leave. Male professors scored 3.7500 or close to disagree while female professors scored 2.5882 or between agreed and neutral (see Table 1).

Table 1 – Analysis of Variance Summaries for Gender

Statement	Sum of Squares	df	Mean Square	F	Sig.
Students Text					
Between Groups	16.772	1	16.772	9.478	.005
Within Groups	47.779	27	1.770		
Total	64.552	28			
Students Leave					
Between Groups	9.494	1	9.494	6.350	.018
Within Groups	40.368	27	1.495		
Total	49.862	28			
Phones Enhance Learning					
Between Groups	1.279	1	1.279	.809	.376
Within Groups	42.721	27	1.582		
Total	44.000	28			
Verbal Policy					
Between Groups	1.250	1	1.250	2.010	1.67
Within Groups	17.417	28	.622		
Total	18.667	29			
Written Policy					
Between Groups	2.222	1	2.222	1.077	.308
Within Groups	57.778	28	2.063		
Total	60.000	29			
Campus Policy					
Between Groups	.136	1	.136	.066	.800
Within Groups	57.864	28	2.067		
Total	58.000	29			

The results showed a significant difference between full-time and part-time professors for campus policy. Full-time professors scored 2.5294 or between agreed and neutral while part-time professors scored 1.3077 or approximately strongly agreed (see Table 2).

Table 2 – Analysis of Variance Summaries for Full-Time or Part-Time Employment Status

Statement	Sum of Squares	df	Mean Square	F	Sig.
Students Text					
Between Groups	1.864	1	1.864	.795	.381
Within Groups	63.309	27	2.345		
Total	65.172	28			
Students Leave					
Between Groups	2.475	1	2.476	1.410	.245
Within Groups	47.387	27	1.755		
Total	49.862	28			
Phones Enhance Learning					
Between Groups	.828	1	.828	.531	.473
Within Groups	42.137	27	1.561		
Total	42.966	28			
Verbal Policy					
Between Groups	.241	1	.241	.367	.550
Within Groups	18.425	28	6.58		
Total	18.667	29			
Written Policy					
Between Groups	1.892	1	1.892	.808	.376
Within Groups	65.575	28	2.342		
Total	67.467	29			
Campus Policy					
Between Groups	10.995	1	10.995	6.550	.016
Within Groups	47.005	28	1.679		
Total	58.000	29			

The mean differences between professors with tenure and professors without tenure failed to reach significance for the six statements (see Table 3).

Professors' responses to the six statements presented in table format below (see Table 4) include valid percents. These percentages computed by dividing cases by the total number of cases, then multiplying by 100 include missing cases in the denominator (Norusis, 2011). The results regarding the statement students use smartphones during class time indicate that professors believe this is a regular occurrence.

The responses regarding students leaving the classroom during class time to take calls showed mixed results (see Table 5). The results regarding student's use of smartphones enhances the learning showed the majority of professors did not believe learning improved with students' use of smartphones during class time (see Table 6).

The results concerning professors inform students regarding their policies verbally showed the majority of professors verbally informed students with reference to their policies (see Table 7).

The results concerning professors inform students regarding their policies in writing showed the majority of professors informed students as regards their policies in writing using syllabi (see Table 8). The results

concerning professors' perceived utility in a campus-wide policy showed a majority of professors believed the University should develop a campus-wide policy (see Table 9).

Table 3 – Analysis of Variance Summaries for Tenure

Statement	Sum of Squares	df	Mean Square	F	Sig.
Students Text					
Between Groups	3.115	1	3.115	1.355	.255
Within Groups	62.058	27	2.298		
Total	65.172	28			
Students Leave					
Between Groups	.276	1	.276	.153	.699
Within Groups	48.689	27	1.803		
Total	48.966	28			
Phones Enhance Learning					
Between Groups	4.881	1	4.881	3.461	.074
Within Groups	38.084	27	1.411		
Total	42.966	28			
Verbal Policy					
Between Groups	.002	1	.002	.002	.961
Within Groups	18.205	27	.674		
Total	18.207	28			
Written Policy					
Between Groups	3.259	1	3.259	1.371	.252
Within Groups	64.189	27	2.377		
Total	67.448	28			
Campus Policy					
Between Groups	2.400	1	2.400	1.209	.281
Within Groups	55.600	28	1.986		
Total	58.000	29			

Table 4 – Students Text

Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	12	37.5	40.0	40.0
agree	8	25.0	26.7	66.7
disagree	6	18.8	20.0	86.7
strongly disagree	4	12.5	13.3	100.0
TOTAL	30	93.8	100.0	
Missing	2	6.3		
Total	32	100.0		

Table 5 – Students Leave

Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	5	15.6	16.7	16.7
agree	5	15.6	16.7	33.3
neutral	7	21.9	23.3	56.7
disagree	9	28.1	30.0	86.7
strongly disagree	4	12.5	13.3	100.0
TOTAL	30	93.8	100.0	
Missing	2	6.3		
Total	32	100.0		

Table 6 – Phones Enhance Learning

Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	1	3.1	3.3	3.3
agree	5	15.6	16.7	20.0
neutral	1	3.1	3.3	23.3
disagree	9	28.1	30.0	53.3
strongly disagree	14	43.8	46.7	100.0
TOTAL	30	93.8	100.0	
Missing	2	6.3		
Total	32	100.0		

Table 7 – Verbal Policy

Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	24	75.0	77.4	77.4
agree	6	18.8	19.4	96.8
strongly disagree	1	3.1	3.2	100.0
TOTAL	31	96.9	100.0	
Missing	1	3.1		
Total	32	100.0		

Table 8 – Written Policy

Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	19	59.4	61.3	61.3
agree	1	3.1	3.2	64.5
neutral	3	9.4	9.7	74.2
disagree	5	15.6	16.1	90.3
strongly disagree	3	9.4	9.7	100.0
TOTAL	31	96.9	100.0	
Missing	1	3.1		
Total	32	100.0		

Table 9 – Campus Policy

Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	19	59.4	61.3	61.3
agree	2	6.3	6.5	67.7
neutral	5	15.6	16.1	83.9
disagree	2	6.3	6.5	90.3
strongly disagree	3	9.4	9.7	100/0
TOTAL	31	96.9	100.0	
Missing	1	3.1		
Total	32	100.0		

Discussion

The results regarding student's use of smartphones enhances the learning process relates to the first research question, that is, do professors believe students' smartphone use during class time disrupts or enhances the learning process? Although some professors acknowledged that the use of smartphones does enhance learning, a clear majority of professors did not believe learning improved with students' use of smartphones during class time. This finding is similar to previous research findings (Burns & Lohenny, 2010; Campbell, 2006; Froese et al., 2012; End et al., 2010; Tindell & Bohlander, 2012).

Another finding showed that all but one professor verbally informed students about their policies whereas a majority of professors informed students of their policies in writing using syllabi. These findings relate to the second research question, that is, do professors have personal smartphone policies regarding class time? These findings indicate the importance professors place on the students' use of smartphones for personal use during class time.

Three interesting findings relate to the respondents. First, female professors' perceptions were significantly different from male professors' perceptions concerning students use of smartphones during class time to text, email, and visit social sites. Male professors were neutral while female professors strongly agreed or agreed students use smartphones during class time to text, email, visit social sites.

Second, female professors' perceptions were significantly different from male professors' perceptions regarding students leave the classroom during class time to take calls. Male professors were close to disagree while female professors agreed or were neutral concerning students leave the classroom during class time to take calls.

Third, full-time, and part-time professors' perceptions were significantly different concerning whether the University should develop a campus-wide policy regarding students' use of smartphones during class time. Part-time professors were more inclined to support a campus-wide policy than full-time professors. Plausible explanations for the above significant differences depend on additional research.

Another interesting finding was professors' experiences show that they are aware of the extent of smartphone use during class time. This differs from the finding by Tindell and Bohlander (2012) that students believe instructors do not realize the extent of texting and other smartphone activities students engage in during class time. Students may be surprised to learn this fact.

Another important contribution of this work relates to policy development. Professors indicated that a campus-wide policy regarding students' smartphone use during class time might benefit the learning experience. This relates to the third research question, that is, do professors perceive utility in a campus-wide policy regarding students' smartphone use during class? This finding is similar to previous research. Campbell (2006) found participants supported smartphone use policies

This finding directly relates to the University's main objective of providing an excellent education to all students. Professors and students may benefit from a campus-specific policy restricting smartphone use during class time that addresses the concerns of professors and students. First, students who may have to take emergency calls would be required to inform the professor in advance. Second, students would not be tempted to look at classmates' phones out of curiosity and not pay attention. Finally, students will not be tempted to use their phones during an examination and risk failing. The overall benefit would be that students would be able to pay attention and participate in classroom activities without distractions.

Faculty members will be empowered via a campus-wide policy. A uniform policy will strengthen the University community's resolve to deal effectively with this issue by sending the message to students that the institution takes the issue seriously.

An effective campus-wide policy regarding students' smartphone use during class time is not realistic if it is a top-down stand-alone policy. Administrators might consider developing a campus-specific policy with the assistance of as many faculty members and students as possible. Faculty and student involvement is essential

for any change effort to succeed. Those who create, tend to support. Faculty members might conduct focus groups with students to learn their viewpoints regarding their smartphone use in the classroom.

University community members may include additional activities to buttress a campus-wide policy. For example, the literature review identified students' misperceptions associated with their peers' use of smartphones during class time (Synnott, 2012). Students misperceive that their peers use their phones more than they do themselves. This may result in students increasing their use of smartphones to fit in. They do fit in, but do not realize it. Clarifying these misperceptions might increase the efficacy of a campus-wide policy.

Administrators and faculty members engaging in activities designed to clarify these misperceptions can benefit from the body of literature associated with clarifying misperceptions with reference to self-reports of students' alcohol consumption and their peers' consumption of alcohol. Students misperceive that their peers consume more alcohol than they do themselves. Clarifying these misperceptions is commonplace on many campuses today. Synnott (2001) offered many ideas for clarifying students' misperceptions regarding their alcohol consumption and their perceptions of their peers' alcohol consumption. Similar social norming activities might help clarify students' misperceptions in relation to their peers' use of smartphones during class time.

Orientation programs designed to inform students of these misperceptions and that students who use smartphones during class earn lower grades may strengthen a campus-wide policy. Resident assistants may offer programs each semester devoted to educating students on these issues.

Finally, individuals in society are emotionally dependent on texting and visiting social sites (Turtle, 2006). Many universities offer space for twelve-step programs that help students with (a) alcohol and other drug addictions, (b) gambling, (c) over-eating, (d) emotional stability, and (e) sexual addiction. Universities might offer space for a twelve-step program that helps students with their dependence on electronic devices. The University may invite members from the larger surrounding community with the same dependence to join the Program.

This complex dynamic demands continuous, determined, and varied efforts by college and university members at all levels to insure students receive a quality education.

Limitations

There are potential limitations to this study. First, self-reports were used to investigate professors' experiences regarding student's smartphone use during class time. Therefore, reporting bias may be a limitation, that is, participants may present themselves in a favorable light. The assurance of anonymity makes this seem unlikely (Prentice & Miller, 1993). In addition, research showed that self-reports are valid (Babor, Stephens, & Marlatt, 1987).

Second, the response rate is 25.8%. This lower than optimal rate may be due in part to nonresponse bias (Fincham 2008). However, more likely it is due in large part to administering the survey during July and August when most faculty members were not working. Additional faculty members were willing to participate but after the August 31 deadline. Other colleges and universities should use caution when interpreting findings in relation to their institutions.

Finally, the participants were professors at a mid-sized university in New England. Therefore, readers from smaller or larger institutions and institutions located beyond the Northeast region of the U.S. should view these findings with caution.

Suggestions for Future Research

Future research is necessary to gain a clearer insight into the theoretical concept of students' use of smartphones during class time. For example, future research might focus on the differences between male and female professors' perceptions regarding student's use of smartphones during class time to text, email, visit social sites.

Future research may focus on the differences between female and male professors' perceptions regarding students leaving the classroom during class time to take calls.

Future research may focus on determining why part-time professors' perceptions differ from full-time professors' perceptions regarding whether the University should develop a campus-wide policy regarding students' use of smartphones during class time.

Future researchers might investigate what students think about instructors' awareness and discomfort related to their smartphone use during class time?

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STRATEGIES FOR SUCCESSFUL IMPLEMENTATION OF RESPONSIBILITY CENTER BUDGETING IN MID-SIZED UNIVERSITIES

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Responsibility Center Budgeting (RCB) is an integral part of Responsibility Center Management (RCM). RCM is a form of decentralized management that has been successfully used at institutions of higher education for approximately thirty years. RCB is an Incentive-Based Budget System (IBBS) designed so that proper incentive and reward, reflecting true cost and benefit, are attached to all management decisions with those same managers responsible for the impact of decisions made (Hearn, et al. 2006, p. 187). RCM goes beyond attribution of cost and revenue to specific units to include control and responsibility (Lang, 1999, p.82). The use of RCB must therefore be integrated with the organizational structure of management and management responsibilities must be decentralized to the same extent as the budgeting system.

RCM was initially used in institutions with large distinct divisions, such as a business school, medical school, law school, etc. to allow these divisions to operate autonomously or semi-autonomously. While still more common in large institutions, RCM and RCB are now being used in institutions of various sizes in response to budgetary pressures, usually contractionary. Smaller public institutions, hoping that an incentive-based system can more efficiently handle reduced external funding, are now adopting RCB. The focus of this paper is RC budgeting at mid-sized universities. As will be examined later, the authors here suggest that the differences in these become more important for the success of the RC budgeting model in smaller institutions.

RCB has largely replaced incremental budgeting techniques that because of a separation of responsibility from budgetary authority have allowed resource misallocations to exist and persist. With Responsibility Center Budgeting decentralized budgeting and financial decisions are made by managers of Responsibility Centers (RC) who are held accountable for the impact of those decisions.

Operating Principles of RC Budgeting

In theory RCB (Whalen, 1991) relies on many principles. In practice, however, RCB can be viewed as being comprised of three basic operating principles. First, all costs and revenues attributable to each RC will be assigned to that RC. Costs incurred by RCs that are not primary revenue generators, that is, support RCs, are funded through charges and/or assessments against the primary revenue generating RCs. Typically the revenue generating RCs will be the academic RCs. Lastly, appropriate incentives should exist for all RCs, whether academic or support, to improve financially, that is, to enhance revenue and decrease cost.

Designing a RCB system that incorporates these principles is not easily accomplished. Attribution of revenues and costs can be complicated, as we will see. Determining methods of assessment to fund the support RCs can be controversial and a cause for much dialog. Ensuring that the system established provides proper incentive is also quite complicated. Consider the issue of reduced external funding. Does the system developed provide a mechanism to ensure that this reduced funding does not only affect the academic RCs and not the support RCs, that is, are charges and assessment rates tied to revenue sources in some way?

A summary of basic requirements would be as follows:

- RC budgeting practices should encourage behaviors that support the mission and goals of the university, provide a methodology for implementing the university strategic plan, and provide incentive to improve quality, reduce cost, and enhance revenue.
- The system should promote the efficient allocation and reallocation of resources by promoting innovative activities that are financially viable and discouraging those that are not.
- The model should be transparent and information rich. Those making decisions and those affected by decisions should have access to budget information and outcome measures promoting fiscal responsibility and accountability.
- The methodology should be as simple as possible so that it is easy to implement and understand.
- Initial implementation of the system should not lead to major reallocations from historical allocations.
- The system should have in place assessment procedures to monitor results both in comparison to internal historical standards and to external benchmarks.
- A process review should occur at regular intervals to determine if adjustments to the system would improve efficiency.

Advantages and Disadvantages of RCB

The advantages of an effectively implemented RCM/RCB system have been obvious to institutions that have done so. The cost efficiencies that can come quickly and the revenue generation that occurs over time are the most obvious. The system increases involvement in institutional planning and requires the integration of various forms of planning (academic, facilities, etc.) with financial planning. In larger institutions

advantages of disaggregation can occur when RCB is used to replace centralized planning and budgeting that is unresponsive or insensitive to the priorities of the individual units resulting in inefficiencies. A centralized facilities plan may be developed, for example, that is independent of the academic needs of the individual units. With RCB, RC managers could challenge assessments to fund such a facilities plan as part of the monitoring and assessment procedures established.

A realization of the effectiveness of RCB can be obtained by a comparison to the budgeting systems it replaces. Many institutions use a simple incremental budgeting process. More realistically it is incremental budgeting supplemented by begging (Whalen, 1991), a process we call Incremental Budgeting and Begging (IBB). Incremental budgeting works well when budgets expand over time. Those areas that do best under IBB, however, are those headed by managers who are good at begging. These units fare better in times of contraction as well. The problem is that the best beggars can get their programs funded based upon begging skills rather than upon economic viability. These systems often separate revenue budgets from expenditures budgets. Units are allocated fixed expenditure budgets that are very likely unrelated to revenue generated. It is a certainty that those funds will be expended as unspent funds are often reclaimed by central management and would undoubtedly affect the unit's allocation for the next year. No unit would want to prove to central management that they are over allocated funds as it adversely affects future allocations. Cost efficiencies are also discouraged in such situations, in fact, inefficiency can even become competitive. Every dollar you do not need and lose in the budget process will go to another unit. The most inefficient units then preserve the ability to remain inefficient. If objective measures are used to compare efficiencies, these units will defend their funding with whatever arguments they can and central managers who granted the inefficiencies through the begging process are likely to also preserve funding for these units rather than admit their previous funding decisions were ill advised.

The weakness most often cited regarding RC budgeting involves reduced collaboration. Academic programs in one RC become less likely to require their students to take courses in another RC because it will mean lost revenue. There may even be credit hour grab backs as programs in one RC may decide to offer required courses in their own RC and no longer require students to take equivalent courses offered in another RC. The business program, for example, may decide to offer business mathematics courses rather than send students to take courses from the mathematics department. Joint programs between fields in different RCs become more difficult to manage as agreements have to be reached regarding splitting costs and revenues and new joint programs are less likely to be proposed because of these difficulties.

Implementation Process Overview

Timeline for effective implementation. Before presenting what we believe to be the major concerns mid-sized schools face when implementing responsibility center budgeting, we first identify strategies for implementation of RC budgeting. The complete implementation process should encompass three years. The

first year is a design year that involves planning, selection of parameters for operation of the system, and dissemination of information about the system and training for RC managers, involved faculty, and staff. The second year begins the implementation of the system with adjustment to the accounting systems to report revenues and costs attributed to the RCs based upon the parameters set. Support and training should also be afforded to RC managers and designated staff on the system during this implementation year. While budgets would have been developed in the usual manner for this second year, budget reports could be produced using the new system as well. Budgets developed during this second year for the third year of operation would employ the RCB model principles. The third year of the process would complete the implementation of the system with both RC management and RC budgeting fully implemented.

Importance of a Review and Implementation Committee. Every university is different and every university will have different rules or guidelines for the operation of RC budgeting. Identifying RCs, setting schemes for the attribution of tuition and fee revenues to each RC, allocating indirect costs, and methods of assessing RCs for central support services will differ for each institution. To determine these rules of the game a budget review and implementation committee with broad representation should be used. The committee should solicit feedback on its deliberations and keep the university community informed of its decisions during the process of development. After the implementation is complete the committee can serve as a budget review and benchmarking committee.

Information Distribution. One of the essential features of RC budgeting is that it is transparent and information rich. It is very important that information delivered be accurate and timely. It is not necessary to produce information during the design phase. Before decisions are made regarding how to attribute fee revenue, for example, data cannot be produced regarding the attribution of fee revenue. During the implementation phase when accounts are being adjusted it would be better to not produce and distribute any information than to distribute faulty information. By the time the system is in full operation, however, reports that are easily accessible to all parties should be generated on a regular basis.

Review and Assessment. The process of implementing RC budgeting is an on-going effort. Once the parameters are determined they have to be reviewed and revised as needed. Continuous assessment and improvement of the process is required. This is generally accomplished by an on-going budget review committee. Most universities do major reviews periodically as well, every five or ten years.

After the implementation phase is operational, assessment and monitoring will occur. Monitoring will be of two forms. The first monitoring function involves the process itself. Some of this will be automatic as moving averages will be employed. Discrete adjustments to the system will be needed as the process unfolds and recommending those adjustments will be the function of various monitoring and benchmarking committees. Monitoring committees will exist at the RC level and at the institutional level. Monitoring committees will recommend adjustments to the model parameters as needed and will benchmark and

monitor the subunits or reporting lines under each RC. The institutional monitoring committee will make recommendations for changes to model parameters over time.

The second monitoring function is performance monitoring. Performance monitoring is accomplished in two ways. First, information for all RCs and their reporting lines are readily available in budget reports that can be viewed by any member of the university community. Inefficiencies in one reporting line or RC over time will be evident in these reports. This sort of internal monitoring within the RC encourages efficient use of resources. The second method of performance monitoring is more traditional and amounts to external monitoring. RC managers report to supervisors in the organizational structure who hold them accountable for decisions made that affect the financial situation in their RC. All RCs are expected to improve financially over time relative to their benchmarks.

Implementation Steps

Identifying Responsibility Centers. The first step in the planning the transition to RC budgeting is the identification of responsibility centers. There are basically two types of responsibility centers, those that generate revenue and those that provide services to the revenue generating centers. The revenue generator would generally be the academic units and the service or support centers would include central administration and central services. Other factors that need to be accounted for include size of the units, the degree of financial autonomy, and the management structure of the institution.

Units identified to be responsibility centers must be large enough to be able to take advantage of scale economies. At issue in many larger institutions is whether to locate responsibility centers at the department or college level. It is very unlikely a department would be of sufficient size in a mid-sized or smaller institution to be considered a viable responsibility center. Generally using the organization of the institution and adopting RCs at the college level is a good starting point. That leaves identification of support RC which can be more difficult. Should there be an RC for central administration or should there be separate RCs for president and provost? Typically libraries, computing services, and plant services are identified as responsibility centers. Which of the other support services such a graduate programs, registrar, bursar, admissions, etc. should be separate RCs and which should be combined to form RCs depends upon several factors. Does the organizational structure provide for a manager to be distinctly responsible for the unit including financial responsibility? Is separate accountability desired for that unit? Is the unit large enough to function as a responsibility center? Once the RCs are identified, it is important for RC managers to understand that the whole of their unit is the responsibility center and that each sub-unit is not. If the college is identified as a responsibility center, for example, each department within the college would not be required to behave as a responsibility center. Locating the Registrar within the Student Affairs RC makes that unit a part of the RC and not an RC in and of itself.

Allocation of Revenues. Responsibility center budgeting requires that all revenues be attributed to the responsibility center that generated that revenue. The first step in the process would be to attempt to identify all sources of revenues. Typically these would include tuition and fees charged to students, appropriations from the state authority, federal work-study monies, indirect cost recovery from grants, and direct income the RCs may earn, and indirect income such as interest income.

Some universities use tuition splits. Tuition splitting involves attributing tuition revenue to the RC that generated the credit for which the student paid the tuition as well as to the RC that houses the tuition paying student's major program of study. If splits are used, 80-20 or 90-10 splits are common with 80 or 90 percent of the tuition revenue being attributed to the RC generating the credit and the remainder to that of the major. The danger in using tuition split is that the RC generating the credit and incurring the cost of doing so is not receiving all of the tuition paid to cover those costs. The argument in favor using splits is that the RC of the student's major incurred costs of recruiting and advising the student and should receive some tuition income even if the student does not take currently take a course in the department.

Other issues regarding tuition involve in-state and out-of-state tuition differentials, and full and part-time tuition differentials. In-state and out-of-state differentials are handled differently at different institutions and how to attribute these revenues to RCs is a matter to be decided by the implementation committee. Full and part-time tuition differentials involve additional bookkeeping or data analysis. At many universities, a student typically reaches full-time tuition at less than full-time enrollment. A student taking twelve semester credit hours may have to pay full time tuition the same as a student carrying fifteen semester credit hours. When attributing tuition to RC for the student taking twelve credits, one-fourth of the student's tuition would be attributed to the RC of each of the four courses the student is taking. For a full-time student taking fifteen credits, one-fifth of the student's tuition would be attributed to the RC for each of the student's five courses, assuming each course is three semester credit hours.

Student fees that are specific should be attributed to the RC responsible for delivering the student service for which the fee is charged. Specific fees would be lab fees, athletic fees, activity fees, etc. This proximity rule is used for all specific fees such as transcript fees being assigned to the RC in which the registrar is located, technology fees assigned to the RC in which computing services is located, etc. If there are general fees, such as an educational support fee charged as a percentage of tuition, it should be attributed to the academic RCs in proportion to tuition received by the academic RCs.

A second major source of revenue for state supported institutions is from the state appropriation. State appropriations are often based on funding formulas derived from many possible factors. Total credit hour production, the distribution of credit hours produced between high and low cost programs, lower and upper divisions and graduate level are often used. To the extent possible, these funds should be attributed in direct proportion to the funding formula. Appropriations may also be provided for support services or for plant services. Assigning appropriated funds for plant services to the appropriate RC is usually straight forward, a

more general state appropriation for support would be more difficult to attribute but these appropriated funds should be attributed as closely as possible to the appropriation allocation formula used.

For larger research institutions a major source of revenue is from indirect cost recovery on grants and contracts. While these funds will not usually be as great for the mid-sized teaching institution, they still exist and must be attributed in the same manner. RCs may also receive direct income or indirect income sources. In all cases the proximity rule should be used to attribute revenues as closely as possible to the RC generating the revenue.

Allocation of Costs

Direct costs. In accord with the principle of proximity each RC would be responsible for all direct costs incurred by the activities of the RC. The largest component will typically be salaries and fringe benefits. Other direct costs include travel expenses, supplies, etc.

Institutional Indirect Cost. Institutional indirect costs are costs incurred in support of the mission of the institution by the non-academic support RCs. These costs include the central administration of the university, facilities, library, computing, admissions, student affairs, and athletics. Institutional Indirect Cost is covered by charges and assessments against the academic RCs. These charges and assessments become revenues to the academic support RCs.

Charges and Assessments

It is recognized that most of the support Responsibility Centers will have very little revenue attributed to them from the process described above. Charges to, and assessments against, the academic RCs provide funding for the academic support RCs. Charges are specific and attributed to a specific support service rendered. An example would be charges to graduate programs in the academic RCs to cover the cost of the central processing of graduate applications, the production of graduate catalogs, and other central services provided by a central graduate programs office. Since this service is being rendered for the various graduate programs on campus, the graduate programs should pay this cost through a charge. Those RCs with smaller graduate programs would pay less than those with larger programs.

The dollar amount of charges for various support functions is determined by formula tied to the level of service rendered. Averaging can be used if there is a need to smooth out fluctuations in the amount of charges so that both the RC paying the charge and the RC receiving the charge as revenue can budget these expenses and revenues. Formulas for charges are set by policy in advance. Changes to charging formulas typically occur at the instigation of the budget review committee. Decisions about the formula used and the charged amounts are determined as described above and not by either the RC being charged or the RC receiving the funds as revenue.

General assessments provide funding to the support RCs for non-specific or general administrative services. As an example, funding for the central administration, such as the President’s office, would be from a general assessment as opposed to a charge for a specific service. A general assessment would also be appropriate if a specific support service can be identified but that service is broadly and universally utilized such as the services provided by the Registrar or Bursar offices. The distribution of assessment charged to each revenue-generating RC varies. A simple straight-forward method (Kent State) utilizes the proportion of the institution’s total revenues obtained by each RC to determine the proportionate share of central service and administrative expenses to be attributed to that RC. For planning purposes these proportions are adjusted every three years. More complicated methodologies apportion shares of each type of expense based upon different criteria. Library cost might be distributed by a weighted average of faculty, graduate students, and undergraduate students in each academic RC. Student services costs might be attributed by headcount students, for example, so that an academic RC with 35% of students by headcount is charged 35% of the student services costs. As another example, if plant services charges for utilities cannot be charged directly by metered usage, charges might be attributed to the RCs based upon square footage building occupation.

The amount of charges for support services, as opposed to the proportionate distribution of those charges just discussed, is typically actual costs from prior year or some adjustment thereof. It is also not uncommon to tie funding amounts for the support RCs to tuition and/or appropriations. Having at least a portion of the assessment amounts used to fund the support RCs tied to the amount of tuition and/or appropriations received by the academic RCs provides a mechanism for external shocks to revenues to be absorbed by all RCs rather than only the academic RCs.

Table 1 presents a simple RCB model for a hypothetical university. All revenues are allocated to the RC most closely responsible for obtaining that revenue. Application fees may be attributed to the Admissions RC, technology fees to the computing services RC, etc. All costs are allocated in the same manner. In this example all costs from the non-revenue generating responsibility centers are charged to the academic RCs via a general assessment charge that is proportional to the sum of tuition and state appropriation revenues.

Table 1

Hypo Thetical U. Responsibility Center	State Appropriation	Tuition & Fees	Earned Income	Indirect Cost Recov	Total Revenue	Actual Direct Expenditures	Institutional Indirect Cost		RC Subtotal	IIC General Assessment	RC Subtotal	Subvention Funding	Net Balance
							Charges	Credits					
A&S	1500	2500	100	100	4200	2650	0	0	1650	-1506.38	143.62	100	243.62
Business	900	1600	125	100	2725	1700	0	0	1000	-941.49	58.51	-25	33.51
Ed	900	2000	50	100	3050	1900	0	0	1100	-1092.13	7.87	-50	-42.13
Subtotal Academic	3300	6100	275	300	9975	6250	0	0	3750	-3540.00	210.00	25	185.00
President		0	0	0	0	300	0	0	-300	300	0	135	135
Provost		0	0	500	500	600	0	0	-100	100	0	50	50
Computing		50	0	0	50	1000	0	0	-950	950	0	0	0
Library		50	50	50	150	900	0	0	-750	750	0	0	0
Enrollment Mgmt		100	0	0	100	400	0	0	-300	300	0	0	0
Facilities		0	0	0	0	800	0	0	-800	800	0	0	0
Student Services		0	50	50	100	440	0	0	-340	340	0	0	0
Subtotal Support		200	100	600	900	4140	0	0	-3540	3540	0	185	
Grand Total	3300	6300	375	900	10875	10390	0	0	210	0	210	210	0

In this simple model only the academic, revenue-generating RCs are charged for support services. The total amount of the general assessment is sufficient to cover the costs of the support RCs including a subvention and innovation funding for the president and provost RCs. A more efficient model would not only charge the academic units for support services, but also the support RCs. Libraries use plant services and should incur facilities charges, for example. All RCs utilize the services of the computing services RC and should be charged for those services. Consider the example of electricity usage. If the libraries are not charged for the electricity they use, they would not have a direct incentive to economize. An ideal situation would be to allocate this cost to all RCs based upon usage.

Table 2 presents a more complete RC budgeting model that provides for charges among the RCs for services with the remainder funded by general assessments.

Table 2

Hypo Thetical U. Responsibility Center	State Appropriation	Tuition & Fees	Earned Income	Indirect Cost Recov	Total Revenue	Actual Direct Expenditures	Institutional Indirect Cost		RC Subtotal	IIC General Assessment	RC Subtotal	Subvention Funding	Net Balance
							Charges	Credits					
A&S	1500	2500	100	100	4200	2650	545	0	1105	-955.32	149.68	100	249.68
Business	900	1600	125	100	2725	1700	350	0	650	-597.07	52.93	-25	27.93
Ed	900	2000	50	100	3050	1900	400	0	700	-692.61	7.39	-50	-42.61
Subtotal Academic	3300	6100	275	300	9975	6250	1295	0	2455	-2245.00	210.00	25	185.00
President		0	0	0	0	300	15	0	-315	315	0	135	135
Provost		0	0	500	500	600	65	0	-165	165	0	50	50
Computing		50	0	0	50	1000	20	125	-845	845	0	0	0
Library		50	50	50	150	900	15	400	-365	365	0	0	0
Enrollment Mgmt		100	0	0	100	400	30	200	-130	130	0	0	0
Facilities		0	0	0	0	800	10	390	-420	420	0	0	0
Student Services		0	50	50	100	440	40	375	-5	5	0	0	0
Subtotal Support		200	100	600	900	4140	195	1490	-2245	2245	0	185	
Grand Total	3300	6300	375	900	10875	10390	1490	1490	210	0	210	210	0

Responsibility Center	Enrollment Mgmt		Facilities		Library		Student Services		Computing		Institutional Indirect Cost	
	Charges	Credits	Charges	Credits	Charges	Credits	Charges	Credits	Charges	Credits	Charges	Credits
A&S	75		150		150		150		20		545	0
Business	50		100		75		100		25		350	0
Ed	75		100		75		125		25		400	0
Subtotal Academic	200		350		300		375		70		1295	
President			5		5				5		15	0
Provost			5		50				10		65	0
Computing			5		15					125	20	125
Library			5			400			10		15	400
Enrollment Mgmt		200	5		15				10		30	200
Facilities				390	15				10		10	390
Student Services					15			375	10		40	375
Subtotal Support	0	200	40	390	100	400	0	375	55	125	195	1490
Grand Total	200	200	390	390	400	400	375	375	125	125	1490	1490

In this hypothetical example all RCs pay charges for services to the support RCs based upon service usage or an estimate thereof, calculated by a charging formula. Consider, for example the Enrollment Management (EM) responsibility center. Charges to the academic RCs to support EM might be based upon the number of students recruited and processed for each academic RC. In this example a total of \$200 is charged to the academic RCs for that service which becomes a credit to the EM responsibility center. EM is charged for computing services, for facilities, and for library services, netting \$170 in this exchange (lower table, shaded area far right, EM line). With that \$170 along with the \$100 application fees attributed to them results in \$130

to be covered by a general assessment (upper table, EM line). If after review through external benchmarking or other means it is determined that EM is operating efficiently, the recruitment charge to the academic RCs might be increased by the budget review committee. If, on the other hand, it is determined that EM is operating at higher cost than peer institutions, they might instead be weaned off the \$130 general assessment subsidy over time, that is, EM would be given a mandate to become more efficient. An important part of the model is to allow for the retention of funds (fund balance carry-forward) at the RC level. In the hypothetical situation above only for the academic RCs along with the President and Provost RCs are allowed fund balance carry forward but some universities also allow the support RCs to retain funds as well.

Upon close examination, one might notice that the Arts & Sciences (A&S) responsibility center now has \$149.68 net as opposed to \$143.62 in Table 1. In the first example A&S was charged 42.5% of the assessment to fund the support RCs based upon A&S's proportion of tuition and state appropriation revenue. A&S fares better in the more complete model perhaps because they have only 40% of the square footage of building and grounds usage and are charged less for facilities. They may have proportionately fewer graduate programs and thus fewer graduate students resulting in a proportionately lower charge for library services, etc.

Critical Features for Successful Implementation at Mid-Sized Universities

The decision to implement responsibility center budgeting is predicated on the condition that the institution is of a minimal critical mass to allow for the division of financial decision making into autonomous or semi-autonomous units. Traditional budgeting systems basically operate as if the entire institution is one unit. With very small universities this is, in fact, the case. These schools are unlikely to benefit greatly from RCM. The very large institution, on the other hand, can easily divide into autonomous units and establish RCs at various levels. In these larger institutions "every boat on its own bottom" can be the standard of operation (Dubeck, 2007). The law college can operate independent of the business college or the medical college, for example. Issues often involve whether responsibility centers should be located at the college level within these schools or at the department level (Hanover). The mid-sized university finds itself in a different situation. They are large enough to identify units as responsibility centers but these units are not completely independent of the others and can be considered to be only semi-autonomous. Performance-based systems can be effective in these mid-sized schools but need to be managed differently than at the large institution. We here focus on five critical differences for successful implementation of RC budgeting at the mid-sized as opposed to the large school. Those features not discussed here would be similar at both levels, such as the importance of being "transparent and information rich."

Increased Importance of Participation. Traditional budgeting systems used at mid-sized universities are likely to be zero-based or incremental budgeting. These systems are typically supplemented by a begging system (Whalen, 1991). Incremental Budgeting with Begging (IBB) systems are very common. Many individuals, particularly deans or other managers have invested much time developing skills that pay off in an IBB setting,

particularly begging skills. Begging skills do not match to financial skills, however. Under IBB one only needs to present plausible arguments and vague promises of financial success of proposals to secure funding. The problem of adverse selection is a result. Adverse selection is much less likely to occur with RC budgeting since one must demonstrate financial viability to the RC manager to secure funding and less than optimal financial results unlikely to be tolerated. Favoritism can be effective in allocating or reallocating resources in that decisions are made and funds move quickly but these decisions and fund reallocations are not necessarily efficient in an economic sense. Some areas can do quite well with IBB while others may not. Those areas of a university that have traditionally done well with previous budgeting systems are likely to be those that will oppose or be the most skeptical of a performance-based system. They are also the most likely to have been operating under subsidies and stand to lose those subsidies under RCB. They also might resist the dissemination of information under RCB, not wanting other areas to learn how heavily they had been subsidized in the past.

How does an institution shift gears from such systems and gain acceptance for a performance based process like RCB? The advantage mid-sized universities have over the large institution is that while the mid-sized universities generally are large enough to enjoy scale economies in many areas, they are small enough to enjoy greater communication and cooperation across many fields. Faculty in the arts may just as easily know the faculty of business as any other. Colleges and departments tend to be less isolated with more channels of communication throughout the network of faculty and administrators. Participation in governance is greater, or is perceived to be greater than at the large institution. Individual staff and faculty members believe they have a greater stake in the institution and see failure or poor performance of the institution as a whole not only as a reflection upon the institution but also on themselves or their departments. These favorable traits should be employed by these institutions in the development of the RCB system. To gain acceptance of RCB, the rules of the game by which all will play need to be developed from the bottom up, with broad participation. Most universities are unique and each develops their own RCB operating rules or RCB manual. It is suggested that a RCB committee be created with representation from all areas, faculty and administration. Ideally each member would contribute to decisions on processes and procedures based upon RCB principles without knowing the financial impact on their area.

Most universities have RCB committees or Budget Review and Implementation Committee as a regular standing committee to be a part of the process of continuous improvement of the system, tweaking on a continual basis and making major adjustments periodically. Most importantly, everyone needs to be aware that the RCB rules and processes will be followed. The most important aspect for acceptance by departments and faculty and staff is to know the rules are fair and the same for everyone and that the rules will be followed. Also important for acceptance by managers is the knowledge that begging does not produce results. There will still be complaining by some who lose favorable budget treatment and there will still be attempts at begging, but these efforts must not be rewarded or the effort to successfully implement RCB will fail.

Increased Importance of Providing Support. A recognized weakness of RCB in general lies in the fact that the RCB system may require more financial knowledge than many RC managers possess (Hanover, p. 10; Lang p.93). Traditional budget systems are centralized and supported by professional staff. Decentralized systems such as RCB places greater requirements on staff at the level of the responsibility center. Having sufficient expertise at this level in large institutions has been problematic in spite of the fact that larger institutions generally have greater staff and are more likely to have individuals available in a RC with the knowledge to assist in budget decisions. In smaller institutions such deficiencies can be a deal breaker. The change to RC budgeting requires a revamping the system of accounts in terms of how the budget is set and how the budget is tracked and reported. It requires a review of the technology support as well to ensure that technology is being used to assist in providing accurate and timely data to the RC managers. It is clearly very important that accurate and timely financials are distributed with regularity. Depending upon the area, RC managers can easily find themselves lacking sufficient skills to manage and implement complex budgets and read and understand the financial statements produced. A business dean may be better suited and more likely to have an assistant dean or department chairs with considerable amounts of appropriate expertise while the dean of a school of art may be overwhelmed by the implementation of the system.

In the long term, such differences are not likely to be as cumbersome as in the short term. Over time as new academic leaders are recruited, budgeting knowledge and skill will likely be important in the selection process. In the short term, it is critical for success implementation of RCB that support and training be provided by the central administration for RC managers and appropriate staff. Exactly what form that support takes or how it is organized is a proper subject of consideration for the Budget Review Committee and is likely to differ from institution to institution.

Increased Emphasis on Integrated Planning. Closely related to the budgeting support issue is the issue of integration of RCM and academic planning with the RC budgeting system. Managers who are new to RC budgeting are also new to RC management in general. In large institutions, these managers are often turned loose and allowed to make programmatic decisions that are unlikely to have large impacts beyond the RC itself. In the mid-sized school, decisions made by on RC manager can have an impact beyond that RC. Decisions made by the law college are unlikely to impact the medical college. In the smaller school, the size of responsibility centers is far smaller than the critical mass needed to ensure independent operations. In the large institution, the business college very likely teaches the business mathematics courses, business statistics courses, and information systems courses. In the mid-sized institution, some of these courses may be in the business college but may also be in the mathematics or computer science areas in another RC. Decisions made regarding business mathematics offerings by the mathematics department have an impact on the business responsibility center. Likewise if the business program decides to offer its own information systems courses, it has an impact on the computer science department. Unlike the large institutions, the implementation of RCM/RCB in these smaller schools should not mean that these managers are now in charge

of autonomous units operating independently and are free to make whatever decision they like without consideration for spillover effects.

RC managers must be left to manage but should not be allowed to operate independently. Major decisions must be evaluated to determine if spillover costs exist. Spillover costs must be managed centrally or negotiated between affected RCs and brokered by the central administration. Decisions by one RC that financially affect other RCs must be reviewed and approved by central management. Even some large institutions have found excessive flexibility without intervention allowed units to get into deep financial difficulties. RCs at mid-sized schools are more interdependent than at the large school. Central management must coordinate planning among RCs to avoid beggar-thy-neighbor policies, dog-eat-dog attitudes, and credit-hour raids that can occur. Coordination of decision making must be mandated from above. Subvention funds can then be used to mitigate budgetary impacts of the decisions of one RC that are adverse to another but are judged by the central administration to be in the best interest of the institution overall.

Increased Importance of Subvention Funding. The existence of central subvention funds in RCB models is universal and it is generally considered important for such funds to exist for RCB to operate properly. Methods of allocating revenue to subvention funds in RCB systems vary greatly as does the amount of revenues allocated. The management of central subvention funds generally rests with the Provost and President and, as one might expect, the criteria upon which these funds would be allocated to the RCs can also vary greatly. Each institution generally makes decisions regarding the amount to allocate and to whom through their budget review committee which tweaks these parameters over time in an attempt to find optimality.

One primary use of central subvention funds is to provide funding for ventures that are likely to be profitable and enhance revenue of the RC and the institution, that is, to fund new ideas that are judged to be highly likely to enhance the financial bottom line. Some of this function may be available at the RC level rather than the institutional level as deans or other RC managers may hold pools of funds for use at the departmental level for this purpose as well. In the very large institution funding sources for innovative activities would more likely be a function performed at the RC level, or if the RC level is at the department level, perhaps at the college level. At these institutions assessments against the law college to fund entrepreneurial efforts at the business school might not be popular with RC managers. At the smaller mid-sized schools centrally managed subvention funds make more sense in that individual RCs are less likely to be able to accumulate funds for this purpose.

The second primary use of subvention funds is for balancing. Balancing or equalizing adjustments are common in the application of RC budgeting. The method of making balancing adjustments is not, however. Some RCs in larger institutions can by their nature be expected to operate autonomously on a minimum break-even basis without balancing adjustments after an initial phase-in period. Mid-sized schools, the focus of this exposition, generally are not large enough, as pointed out earlier, for each college RC to be independent of the others.

The basic organizational structures of academic units vary greatly from institution to institution. As a result, the distribution of high and low cost programs to different academic RCs varies as well. A comparison of mid-sized universities, including those with very similar size and mission, for example, would reveal great differences in the organization of departments and colleges. While there are commonalities, it could be argued that the collection of departments in any given college is somewhat unique to the institution. There is nothing inherent about these collections of departments into colleges that would necessarily result in the various collections being financially equal in sum at any given institution. The use of balancing adjustments prior to the imposition of minimum net-zero requirements on the RCs is not at odds with RC budgeting principles. The use of subvention funds as balancing adjustments among academic RCs to create equalization becomes more important as the size of the school decreases. As pointed out earlier, with decreasing size one finds decreased autonomy and greater interdependence, but one also finds with smaller size the organization of departments into schools becomes more unique to the institution. The bottom-line financial structure does so as well.

Without the use of a balancing adjustment before a minimum net-zero requirement is imposed would mean a low-cost RC could actually lose some efficiency and still meet a net-zero requirement or even accumulate fund balance carryovers while a high-cost RC continually struggles to improve efficiency and is continually cash starved. All RCs should not only have an incentive to become more efficient over time, they should also have an equal opportunity to reap the rewards in terms of fund balance carryovers.

As an example consider field of economics at the undergraduate level. In many mid-sized institutions economics would be located in the business school and in many others in the arts and sciences. Where the department is located in any particular institution is a matter of the evolution of the institution. Economics can be a department which shows as substantial financial surplus, a "cash cow," as such are sometimes called. Should economics be housed in the business school, that surplus would go to the business RC. Should economics be housed with the sciences, the surplus would go with it there. At a larger school there may be more than one economics department or even a third as is the case in some large mid-west or plains states schools one might even find a third economics department located in the agricultural school.

The point here is that while many schools use subvention funds for balancing or equalizing, only the large schools can easily phase these out over time as the autonomous units are expected to operate as such. These larger schools may also have individual control over tuition and fee charges and these can then be adjusted in accordance with the cost structure. The medical, business, and law schools would likely set their own tuition rates reflecting cost. Harvard University, for example, implemented RC budgeting without the use of subvention funds but in order to do so, had to make their entire undergraduate component one responsibility center. In smaller schools the units are not fully autonomous so that the organization of the institution might be such that an RC with a concentration of low cost programs might be expected to generate surpluses

continuously. These RCs would be assessed to fund the subvention pool used to balance another RC that happens to have a concentration of high-cost programs.

Increased Importance of Monitoring and Benchmarking of the Support RCs. Mid-sized universities rely much more heavily on centralized services than do large institutions. In a larger institution library services, student placement services, graduate student admissions, and others may be part of the particular division or responsibility center. In the mid-sized school it is very likely that all such services are centralized. When decentralized and located in the RC, the costs of these services are under the control of the RC. The degree of control over central services costs by the revenue generating RCs decreases as the size of the institution decreases. Without modifications to the RCB model, mid-sized schools can find themselves at the mercy of assessments or charges for central services that are out of their control. For mid-sized schools, therefore, a monitoring and benchmarking mechanism becomes more important and should be formalized. It is important to recognize that with small or mid-sized universities, academic RCs are often required to utilize central services and do not have an option to hire or buy their own services. These RCs must have a mechanism that ensures that they “get their monies worth” from the assessment that the RC is charged for a central service.

Charges to and assessments against the revenue generating academic RCs provide funding for the support RCs. Charges, as opposed to general assessments, are specific and attributed to a specific support service rendered. An example would be charges to graduate programs in the academic RCs to cover the cost of advertising and student recruitment of graduate students if such services are provided centrally. Since this central service is being rendered only for the various graduate programs, only the RCs with graduate programs should pay this cost through a charge that is proportional to the use of the service. The charge in this example might be based upon the advertising cost involved and the number of resultant inquires processed or students recruited. In a sense the academic RCs are “purchasing” this service. The market that operates to provide the service is clearly not competitive on either side. It could be argued the market for these services is best modeled as a bilateral monopoly. Both the pricing and quantity solutions in the bilateral monopoly model are negotiated. In short, the most efficient solution is for negotiation between the graduate program RCs and the graduate recruitment office. If the graduate programs want increased advertising, they face increased charges. If they determine the charges are too great, they can negotiate the rate down or decrease the amount of service they purchase. The rate of charge could alternatively be determined by benchmarking rather than negotiation. In any case the academic RC has some control over these services and the service RC is not given carte blanche authority to spend or drive up cost through inefficiency without recourse from the purchasing RC.

General assessments, on the other hand, provide funding to the service RCs for non-specific or general administrative services. As an example, funding for the central administration, such as the President’s office, would be from a general assessment as opposed to a charge for a specific service. A general assessment would also be appropriate if a specific support service can be identified but that service is broadly and

universally utilized such as the services provided by a records office. It is also important for a mechanism to be in place that allows some control by the RCs being charged over these costs. That mechanism for the smaller institutions would mimic that used by the larger, a monitoring committee and the use of comparative benchmarks. It can be relatively easy to determine if records office costs are out of line with similar institutions or to set costing guidelines through comparisons with institutions in a comparison group. As mentioned earlier, it is also not uncommon to tie funding amounts for the support RCs to tuition and/or appropriations directly. This provides a mechanism for external shocks to revenues to be absorbed by all RCs rather than only the academic RCs.

If specific services can be identified, charges are preferred and allow greater control as well as provide a direct link between funding for the support area and productivity of the area, providing proper incentive for increased efficiency. With general assessments and since productivity of the support area is not easily measured, a separation exists between productivity and funding yet the academic RC must have confidence they are getting their money's worth from that support activity. That confidence can come from benchmarking and monitoring by the budget review committee.

Summary and Conclusions

The purpose of this paper was to propose a strategy for the implementation of responsibility center budgeting at a mid-sized university. RC budgeting is no longer used exclusively by the larger institutions. Mid-sized schools facing budgetary challenges are increasingly turning to RC budgeting as a means of increasing efficiency, lowering cost, and improving the delivery of educational services to their students. The use of RC budgeting also improves integrated planning strategies and enhances attainment of institutional goals.

In addition to presenting a framework for implementation, six critical issues the mid-sized institution must address concerning the implementation of an RC budget model are identified and discussed. These are not meant to be all inclusive as there will always be issues that must be addressed at an institutional level. It is also not meant to imply that every mid-sized institution will face all of the challenges presented here.

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CUMULATIVE NEGATIVITY: REASONS FOR WOMEN FACULTY DEPARTURE FROM ONE RESEARCH INSTITUTION

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In retention and promotion of women faculty in academia has become an area of national concern. Women faculty have been shown to be underrepresented across ranks in many fields, such as those in the science, technology, engineering, and mathematics (STEM) disciplines (Etzkowitz, Kemelgor, & Uzzi, 2000; National Science Foundation, 2006; Valian, 1998), as well as to have lower rates of promotion and tenure when compared to men (August & Waltman, 2004; National Academy of Sciences, National Academy of Engineering, & Institute of Medicine, 2007). Women have also been shown to be paid less than their male counterparts (Smart, 1991; Umbach, 2006; Xu, 2008b). Further, individual women faculty may have disparate experiences based upon discipline (Xu, 2008a), the gender composition of their department (Tolbert, Simons, Andrews, & Rhee, 1995), and other variables respective of their context. Consequently, women faculty tend to be significantly more likely than men to express the intention to leave (Xu, 2008b; Zhou & Volkwein, 2004) and also have higher rates of actual turnover when compared to men (Johnsrud & Heck, 1994; Menges & Exum, 1983; Rothblum, 1988).

Researchers have therefore sought to better understand the reasons leading to departure among faculty members in general, and women faculty in specific. The majority of such studies have been quantitative in focus, utilizing large, national datasets to analyze faculty departure and identify key predictor variables (e.g., Harrigan, 1999; Rosser, 2004; Smart, 1990; Tolbert et al., 1995; Xu, 2008a; Zhou & Volkwein, 2004). While such studies have been helpful for institutions seeking to use these national-level models to predict turnover behaviors, they do not provide institution-specific data nor do they offer a holistic understanding of actual reasons for departure. With a few notable exceptions, including a conference paper by Wenzel and Hollenshead (1994), very few studies have examined the actual reasons for departure among women faculty at particular institutions through qualitative methodology. Qualitative methods allow for participants to make meaning of their own experiences within a particular context. Maxwell (1996) pointed out that qualitative

researchers are therefore “able to understand how events, actions, and meanings are shaped by the unique circumstances in which these occur” (p. 19). Zhou and Volkwein (2004) emphasized the need for future studies to use qualitative data to study faculty turnover, specifically “actual turnover behaviors” rather than merely turnover intentions (p. 162). Rosser (2004) stated, “Institutions need to examine specifically the individual-level information in greater detail by gender and race/ethnicity, as well as the organizational or group level such as institutional type and control, and discipline” (p. 305). Indeed, the multiple layers of the higher education system, including the individual, departmental, disciplinary, and institutional sub-systems, play key roles in the experiences of their members (Bess & Dee, 2008; Kuh & Whitt, 1988) and have a tremendous impact on the experiences of women faculty in their decisions to depart an institution (Rothblum, 1988). Such a systems view of women faculty departure is therefore most appropriate as it “is helpful in analyzing and explaining the behavior of two fundamental complex institutions in all societies – organizations and individuals” (Bess & Dee, 2008, p. 93), particularly as higher education organizations are aptly conceptualized as systems with multiple organizational layers (Bess & Dee, 2008).

The purpose of this study was to better understand the reasons behind the recent departure of women faculty at one research institution through qualitative interviews using a systems view to explore how the organizational sub-systems at work in this institution affected these women’s experiences and their decision to depart. To situate this study within the larger research on women faculty departure, I begin with a brief review of the literature related to the topic followed by a description of the study’s methods. The findings of the study are then presented, culminating with a discussion of the findings in relation to suggestions for future policy, practice, and research.

Why Faculty Leave: A Review of the Literature

The reasons for faculty departure from institutions of higher education are wide-ranging in scope, including anything from individual characteristics to general dissatisfaction with the job or academic environment (Barnes, Agago, & Coombs, 1998; Johnsrud & Rosser, 2002; Smart, 1990). Early studies of faculty departure, such as those by Weiler (1985) and Smart (1990), focused on particular predictors of faculty attrition, including that of individual or demographic characteristics, such as gender or marital status; work factors, including, for example, an imbalance in research and teaching time; and contextual variables, such as salary and enrollment. Later studies added measures of satisfaction to these predictors (Hagedorn, 2000; Rosser, 2004; Zhou & Volkwein, 2004) as well as psychological constructs such as morale (Johnsrud & Rosser, 2002) and stress (Barnes et al., 1998).

Disaggregating departure, researchers have generally found that faculty members, particularly at the assistant professor level, will leave due to quality of life issues, spousal employment, intellectual incompatibility with senior faculty, or a lack of satisfaction with job security (Burke, 1987; Zhou & Volkwein, 2004), while more senior faculty may leave due to salary, conflict with administration, and issues of balance

related to teaching and research (Amey, 1996; Smart, 1990; Zhou & Volkwein, 2004). At the same time, institutional or contextual factors such as discipline may also play a role in faculty departure (Xu, 2008a), further disaggregating predictive variables among faculty.

Women Faculty Departure

Faculty departure by gender also varies. When viewed through the lens of gender, scholars, such as Amey (1996), have found that male faculty tend to leave due to issues related to salary and professional advancement; while women faculty will also cite salary, they will also list personal reasons and professional advancement opportunities at a close second. In studies of intent to leave, Rosser (2004) and Xu (2008b) found that female faculty members tend to be less satisfied with workloads in regard to courses and advising, their benefits, and salary when compared to their male peers. When viewed in tandem with the literature on women faculty these findings are not surprising. Indeed, women faculty tend to have heavier teacher loads (Austin & Gamson, 1983), be given more service responsibilities (Kulis, Sicotte, & Collins, 2002; Menges & Exum, 1983; Rosser & O'Neil Lane, 2002), be excluded from important committees and decision-making (Aguirre, Hernandez, & Martinez, 1994; August & Waltman, 2004), and have their research trivialized (Johnsrud & Wunsch, 1991). Consequently, women faculty are tenured and promoted less often (August & Waltman, 2004; Smart, 1991; Umbach, 2006), paid less than their male colleagues (August & Waltman, 2004; Nettles, Perna, & Bradburn, 2000; Smart, 1991; Umbach, 2006) and therefore have higher rates of attrition both pre- and post-tenure (Johnsrud & Heck, 1994; Menges & Exum, 1983; Rothblum, 1988).

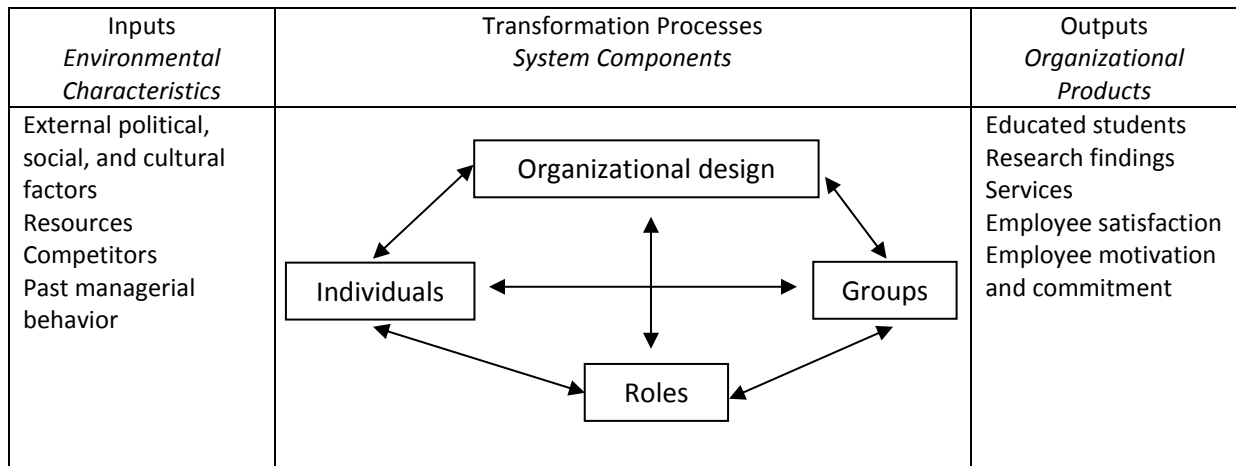
However, when taken together, the majority of literature on faculty departure is dated, with the most recent studies published in the middle of the last decade or using datasets from the late 1990s (e.g., Rosser, 2004; Xu, 2008a; Zhou & Volkwein, 2004). Moreover, the majority of the existing research on faculty departure has been conducted almost exclusively with large, national databases (e.g., Johnsrud & Rosser, 2002; Rosser, 2004; Smart, 1990; Xu, 2008a; Zhou & Volkwein, 2004), thereby leaving out a fuller understanding of the personal stories of those who have departed or how the specific disciplinary and institutional cultures or systems have influenced their decisions. Finally, despite the above listed concerns specific to women faculty, a paucity of research exists about women faculty departure within these personal, disciplinary, and institutional parameters and how these multiple levels of the institutional culture and context influence their departure decisions.

Systems Theory: A Conceptual Framework

One way through which to view the intersecting dimensions of personal, disciplinary, and institutional factors that contribute to women faculty departure is through the lens of systems theory. A system is defined as “a set of components or elements that are interrelated, interactive, and interdependent” (Bess & Dee, 2008, p. 94). Systems theory assists in “analyzing and explaining the behavior of two fundamental complex

institutions in all societies – organizations and individuals” (p. 93). A system, as represented in Figure 1, is generally composed of three elements: (a) inputs, including environmental characteristics such as external

Figure 1 – Systems Theory



(Adapted from Bess & Dee, 2008, p. 108)

political, social and cultural factors, resources, and competitors; (b) transformation processes, including the interplay of the organization’s design with individuals, groups, and their particular roles; and (c) outputs, which include the organizational products, or in the case of higher education, educated students, research findings, services, employee satisfaction, and employee motivation and commitment (Bess & Dee, 2008). Systems are composed of subsystems or components, which carry out specific functions or tasks and are, in effect, miniature systems, including their own inputs, processes, and outputs. Within the context of higher education, systems theory assists in understanding how inputs and system components ultimately influence outputs or products.

Viewed within the dynamics of the current study on women faculty attrition, the inputs can be viewed as the surrounding environment for this public institution, including the funding given at the state level and surrounding forces in the regional area. The system components of study include the individual faculty members and university administrators, with the output represented by faculty satisfaction and commitment to the institution, a highly significant predictor of faculty retention or attrition (Hagedorn, 1996; Rosser, 2004; Zhou & Volkwein, 2004). In addition, systems are made up of subsystems (Bess & Dee, 2008). In higher education institutions, the subsystems include the academic departments in which the faculty work, which are in turn influenced by the larger environment of the institution, its processes, and corresponding outputs. As indicated by the existing literature on faculty attrition, a systems-view of faculty turnover is appropriate as it is “an array of internal and external factors [that] influence faculty’s intention to stay or leave” (Zhou &

Volkwein, 2004, p. 145), including “a variety of institutional, interpersonal, and psychological factors” (Rothblum, 1988, p. 15). Johnsrud and Rosser (2002) pointed out that it is not enough to consider the individual-level or interpersonal reasons for departure. They said, “There is a measureable and significant component that exists at the organizational level” (p. 536). Indeed, systems theory has been used to examine attrition in turnover in fields such as business, nursing, human resources, and even college student attrition (e.g., Berger, 2001; Crow & Hartman, 2005; Rousseau, 1977) but has not yet been applied to the realm of faculty in higher education. The next section details the methods of the study, which used systems theory as a lens through which to better understand women faculty attrition at this institution.

Methods

A perceived high attrition rate of women faculty at the institution studied (hereafter referred to as Land Grant University) prompted the current study. Specifically, according to institutional documentation (Land Grant University, 2001, 2003), a faculty member at Land Grant University (LGU) first conducted an informal study of faculty attrition in 2001 using existing phone directories and catalogs. She found that women faculty were more than twice as likely as men faculty to no longer be employed at the institution within three years of hire. She also found that female faculty had an attrition rate of three times that of male faculty in two of LGU’s colleges. This study was replicated in 2003 by the Office of Equity at LGU with similar findings. Since that time, the lingering concern about attrition of women faculty has persisted at LGU but no further research had been conducted to determine why this attrition occurs.

Therefore, the guiding research question for this study was, “What leads to and impacts the decision of women faculty to leave Land Grant University?” To address the guiding research question in this study, I employed qualitative methods. Qualitative methods are especially suited when one attempts to understand the participants’ meaning of the “events, situations, and actions they are involved with and of the accounts that they give of their lives and experiences” and to understand “the particular context within which the participants act, and the influence that this context has on their actions” (Maxwell, 1996, p. 17). Furthermore, qualitative methods were also appropriate to determine a causal explanation. Miles and Huberman (1984) pointed out, “Field research is far *better* than solely quantified approaches at developing explanations of what we call local causality- the actual events and processes that lead to specific outcomes” (p. 132). To be certain, understanding the reasons for and the causes of women faculty departure within the specific context of LGU was the guiding purpose for the study. Preceding studies on faculty attrition have also recommended such a qualitative perspective in continuing research (e.g., Wenzel & Hollenshead, 1994; Zhou & Volkwein, 2004) in order to fully understand the phenomenon of turnover among faculty.

LGU is a public research-intensive institution located on the East Coast of the U.S. With a student population of a little over 12,000, it is relatively small in relation to other land grant institutions while also being geographically isolated. LGU is one of a number of contemporary institutions interested in gaining more

prestige through its rankings and relatively new emphasis on research (Aldersley, 1995). Unlike other research institutions, however, LGU's faculty are unionized, resulting in a collective bargaining agreement for most major personnel policies and salary matters. During the 2008-2009 academic year, LGU employed 549 faculty members, 439 of whom were designated tenure-stream. LGU is a predominately White institution and its faculty are representative of this fact, with only 5.6% of its faculty members identified as individuals of color. Like many other state-supported institutions, LGU has seen its share of budget shortfalls and budget cuts as a result of dwindling state funding, resulting in declining faculty numbers and other sacrifices in the academic sphere.

To determine participants for this study, LGU's Human Resource Office compiled a list of all women faculty who had left during the years of 2003-2008, which resulted in a total of 40 individuals. Of these 40, four were deceased and seven had retired, leaving 29 individuals. Since LGU did not maintain any correspondence with these individuals, I conducted an Internet search for the remaining 29 women resulting in a total of 19 individuals for whom contact information was obtained. Of the 19 contacted, 11 agreed to participate, including representation from STEM fields (3), social sciences (3), professional/applied fields (4), and the humanities (1). Participants were all tenure-stream while at LGU and served an average of 8 years before departing. Four of the women had held academic positions prior to coming to LGU, ranging from one year to 17 years. Three of these women held tenure in these prior positions. In order to maintain confidentiality, the race, ethnicity, nationality, and age of the participants is not reported. See Table 1 for further detail on the 11 participants.

Table 1 – Women Faculty Participants

Pseudonym	Disciplinary Area	Years at LGU	Ranks Held at LGU
Lorna	Humanities	13	Assistant, Associate
Evelyn	Professional/Applied	7	Assistant, Associate, Full
Kaye	Professional/Applied	7	Assistant, Associate
Teresa	STEM	12	Assistant, Associate
Sheila	Professional/Applied	4	Assistant
Betty	Social Science	13	Assistant, Associate
Nancy	Professional/Applied	3	Assistant
Constance	Professional/Applied	13	Assistant, Associate
Hazel	Social Science	2	Assistant
Melanie	STEM	4	Assistant
Maria	STEM	9	Assistant, Associate

I solicited participation via e-mail and scheduled interviews with the women over the telephone. Two participants happened to be visiting in the area and were able to conduct face-to-face interviews. Interviews were guided using a semi-structured protocol that asked only six questions: (1) How long were you at LGU? (2) What academic ranks did you hold while here? (3) What prompted you to come to LGU? (4) What was the environment like while you were here? (5) What ultimately influenced your decision to leave? (6) What advice would you offer LGU administrators to assist in retaining faculty members? Interviews lasted from 45 to 90 minutes, were audio-taped, and later transcribed verbatim.

I analyzed interviews utilizing the constant comparative method (Bogdan & Biklen, 2003), wherein first open-coding was utilized to understand the larger dynamics at work in the faculty perspectives of their experiences while at LGU, resulting in a set of themes. Then, I conducted further coding to make explicit the connections between the themes that emerged and corresponded with the conceptual framework of systems theory (Bess & Dee, 2008). Specifically, I coded the transcripts looking for how the multiple layers of the organization of LGU, its environmental characteristics, and its transformational processes influenced the women faculty during their tenure at LGU. Finally, a third round of coding allowed for a search of concepts that tied into the emic themes (Strauss & Corbin, 1998) that emerged from the participants' interviews.

I obtained trustworthiness of the data collected and subsequent analysis through peer debriefing (Maxwell, 1996), wherein another colleague was given access to transcripts for their analysis and verification of themes; member checking, wherein women faculty were asked to review the themes that emerged from their interviews; as well as through triangulation of data sources (Bogdan & Biklen, 2003; Maxwell, 1996) as the current study was a part of a larger study in which I interviewed and surveyed multiple administrators and current faculty at LGU.

Findings

I began by stating that many of the women faculty who spoke with me were reticent to do so. After the first e-mail to the participants requesting participation in the study, many responded asking my identity and purpose in doing the study. Others responded that they would only speak to me if their identities remained confidential. Yet others were emphatic in communicating that if I were a member of LGU's administration they would not speak to me. The stories these women told were difficult for them to share and difficult to hear. The data presented here are intended to provide sufficient detail to tell their stories while also maintaining their confidentiality.

From the analysis of the 11 interviews with women faculty who had left LGU, five interrelated themes emerged related to their decision to depart the institution. These themes include (a) resources, (b) leadership, (c) policies, (d) the institutional culture, and (e) the overall environment. Each of these themes is discussed in turn below.

Resources

At first blush, many may attribute faculty departure as owing to unsuccessful tenure or promotion bids or non-reappointment; the 11 women faculty interviewed in this study, however, represented anything but. Indeed, with an average of 8 years, many of these women had successfully navigated the tenure and promotion process at LGU. The untenured women interviewed also told of successful beginnings to their academic careers. Taken together, each and every single woman interviewed was successful in her own right, with countless publications, grants, and national reputations behind them. Interestingly, three of the women actually gave up tenure and even higher salaries at other institutions to come to LGU, mostly due to its geographic location and promises of subsequent reinstatement of these privileges. Evelyn, a faculty member in a professional field at LGU, talked about her prior institution and her reason for sacrificing so much to come to LGU:

I was in a massively dysfunctional department [at my other institution] so I looked around for something that would provide opportunities that I wasn't going to have there. It was a real aggressive environment so I thought, "Well, I've done this so I think I can do it again in a human environment a whole lot easier than this other thing that I've been through."

However, once arriving at LGU, Evelyn, as well as six other women, found something other than what they expected or, in some cases, what they were explicitly promised. Many of the women were most surprised at what they found to be a paucity of resources. These resources fell into several categories, including poor salaries, a lack of support for research, dwindling numbers of faculty or human resources, and subsequent high teaching loads. For example, several women talked about the low salaries at LGU contributing to their decision to leave; however, most disconcertingly, they saw male colleagues with the same experience and rank making substantially more. Evelyn explained, "I think if I had been male asking or petitioning for these salary increases there would have been a different outcome. The people in my department who were making substantially more – I'm talking \$25,000 a year more than me – were male."

In regard to other kinds of resources, Nancy said, "The one thing I would say about LGU that was very difficult was that there was no good research support. If they're going to talk about doing research, they're going to have to get the resources to support it. They do not have anything right now, in my opinion, to support it. They're kidding themselves." Constance equally talked about dwindling resources in her college, saying, "We were drowning. Our teaching levels were going up and up and up and our resource support was going down and down and down and we were all just ready to tear our hair out." Ultimately, this lack of resources translated into a negative overall environment for some of the women. Lorna remarked, "It's a kind of impoverished culture, resource-poor culture that really makes people inflexible." Over time, several women remarked upon how the lack of resources translated into burnout, including Betty, who forwarded, "I think we were doing so much for so long that it started to wear on you after a while."

Leadership

Another resounding theme from the interviews with the women who had departed LGU surrounded that of leadership, or the lack thereof. Specifically, each and every single woman interviewed talked about her incredulity about the turnover of leadership at the department, college, and university levels. Evelyn explained, "I had four college deans during the time I was here who were summarily fired. I never knew what to believe. What do you put your energy into? How do you target success? What would that look like?" Constance underscored Evelyn's point, "We went through this revolving door of deans. We got these guys in that were just like oh my God." This kind of turnover led to what Sheila described as a deteriorating overall environment: "Lack of leadership, extremely poor communication, gossip, backbiting." Melanie, who was relatively new to LGU, experienced other emotions in the wake of leadership turnover in her college: "I think maybe the third or fourth year I was there the dean was pushed out and a new dean was hired. That was a little scary for me because then this new person came in that I didn't have a relationship with."

There were a shocking number of women who mentioned very poor leadership and actionable behavior from those in these positions, specifically what a number referred to as "bad chairs" or "bad deans." Lorna, after having taken leave for her newborn was told by her chair that it was perceived in the department that she was "abusing the system." Not surprisingly, then, when asked what advice she had for LGU, Lorna said, "They really need to do a much better job of training chairs of departments. A different chair could have made this a very different experience for everybody." Teresa emphasized, "As a chair at this time he didn't behave in the way that would have helped the university to retain a faculty member," while Nancy stated, "I had two deans while I was here but I do not think either of them had a sense, a vision for the college. It was very sad."

Policies

Another contributing factor related to a lack of policies to support these women and their competing life demands. In particular, many of these women remarked upon the lack of policies to support work-family balance, including maternity and family leave, and spouse/partner accommodation. Like Lorna's story above indicates, and other women confirmed, LGU lacks consistent and clear maternity leave policies. Hazel laughingly stated, "I would definitely say that LGU's maternity leave policy is not among the best. I definitely got the sense from LGU that it was one thing for you to be a parent but you have to do it on your own time." Betty agreed, "LGU needs to do some analysis of what women need, what their family needs are. I mean, there was really no support for any of that whatsoever."

Several women also discussed a dearth of employment opportunities for their partners or spouses leading to their decisions to leave. Melanie explained, "My husband couldn't find a job. There just didn't seem to be jobs for him and I felt like, institutionally, there didn't seem to be anyone I could go to get help with this." In fact, for Melanie, the lack of maternity leave coupled with the lack of spousal accommodation was the last straw. She continued, "While I was there I had a child and that was the worst experience of my life. My husband didn't have a job so I couldn't even take the 12 weeks of unpaid leave without losing my house."

Another policy, or lack thereof, of concern to several women was that of reporting problems. Several women, like Lorna, discussed discriminatory behaviors that were targeted at them during their time at LGU. For these women, either there lacked an avenue through which to address these issues or the avenues that existed were ineffective. Sheila shared her experience: "I tried to address an issue that was for me an ethical issue and I experienced some pretty severe retaliation for that." Constance discussed a similar situation in dealing with a university office designated to deal with discrimination complaints:

I've never seen such a bunch of incompetent people in my life. I can't tell you how many complaints and things I filed and how much time I had spent talking to them about stuff and nada. Nothing happens. Just completely over their heads about how to deal with this. So where do you go? There's no place. There's just nobody there that has the power or authority to resolve anything so I can only conclude that the university administration has no will to actually resolve it.

Institutional Culture

Many of the difficulties explained by the women above were attributed to an institutional culture that demanded much of its faculty without corresponding resources to accompany it. Most especially was what one woman referred to as LGU's "identity crisis." Like many other institutions of higher education, LGU is in the midst of mission drift, and could be considered a striving institution. The concept of striving "is broadly defined as the pursuit of prestige within the academic hierarchy" (O'Meara, 2007, p. 123). For LGU, this specifically translates into the desire to be ranked as a top 50 research institution. As this desire is relatively new within the institutional culture, many of the women interviewed talked about the conflict between the older and newer ways of "how things were done." Lorna, who had to commute long distances as her spouse was unable to find a job in the area, felt very much chastised in her approach to scholarship. She explained:

One of the great things about being at a PhD-granting institution is that people are expected to be actively engaged in research and writing and so you don't tend to do that sitting in your office. The department had a kind of schizophrenia. There are a number of people in the department who are not actively producing scholarship and had the notion that you need to be at the university each and every day because of their emphasis on teaching.

Betty also talked of this type of identity crisis or schizophrenia as it related to this striving culture. She watched as the culture went from one that emphasized excellence in teaching and service to one that shifted to excellence in teaching, research, and service:

In some ways I think the university tries to do too much: try to be good at research, try to be good at teaching, all those elements. We were doing so much for so long that it started, I mean, when you're asked to be really good in all areas I think it just wears on you after a while.

Paradoxically, however, many women discussed that while this mission drift was occurring they simultaneously experienced an institutional culture that was resistant to change. This was disconcerting as

many were lured to LGU with the promise of a research-centered culture only to find that this culture had not permeated all parts of the institution. Evelyn shared:

There's no impetus for improvement. I actually started keeping notes of how frequently I heard, "We don't do that here." There was no sense of urgency or wonder or excitement about doing this. I always found it saddening because there was so much basic good stuff and it was just being squandered by sort of the haze of fossilization creeping over things.

Overall Environment

Taken together, the above themes that emerged from the women's experiences contributed to an overall environment or climate that was described as "toxic," "dysfunctional," and "not fixable." Not surprisingly, then, it was this amalgam of experiences and a negative overall environment that prompted the majority of these women's decisions to leave LGU. In fact, out of all 11 women interviewed, only one had an overwhelmingly positive experience at LGU; she left because of the weather. Interestingly, however, many of the women who were at LGU through tenure and beyond found the environment initially positive but remarked upon its deterioration over time, like Teresa who remarked, "I have to say that I stayed as long as I stayed because the environment, up until the last couple of years, was extremely good and positive." Similarly, Sheila commented, "My first year was very good. I felt very good about the first year and then things became worse after that." Betty underscored these remarks by saying, "I guess I didn't want to become a lifer there. I looked around and saw a lot of people who just didn't care about being professors and just went through the motions. I didn't want to become that way."

One aspect that many women discussed that would have alleviated some of this negative environment was a sense of appreciation or acknowledgement. Indeed, several women conceded the reality of sparse resources at LGU but reiterated the need for other kinds of reward or remuneration for their contributions. In the end, for many of these women, they simply desired to feel appreciated or wanted by LGU – something that would not have cost LGU any money whatsoever – but something that was nevertheless sorely lacking from the environment at LGU. Teresa, for example, is a prolific scholar and was offered many positions during her 12 years at LGU, but what kept her at LGU was not additional salary but rather a feeling of being wanted. She said, "They explained to me how much they wanted me to stay and I stayed." When another job offer came from a much more resource-rich and prestigious institution Teresa's new chair failed to respond: "Nothing happened. I heard nothing back." Evelyn had a similar experience:

I worked in private industry and I do understand that you reward those people that you absolutely think are critical to the organization and it became abundantly clear to me that I was not seen as someone who was critical to the organization. The problems were solvable. I was not important enough to make the solution happen.

Discussion

Five themes emerged from the interviews with the 11 women faculty from LGU, which in combination led to their reasons for departure from the institution, including (a) resources, (b) leadership, (c) policies, (d) the institutional culture, and (e) the overall environment. The findings from this study underscore much of the existing literature while at the same time bringing to light several unique scholarly contributions to the literature base. First, in accordance with other scholars (Harrigan, 1999; Johnsrud & Heck, 1994; Smart, 1990; Tolbert et al., 1995; Xu, 2008a), it was evident that these women faculty did not leave LGU for one reason alone; rather, it was a confluence of issues that ultimately influenced their departure. Second, the women who departed LGU experienced many of the same issues that other women faculty face, including heavier teacher loads (Austin & Gamson, 1983), more service responsibilities (Kulis et al., 2002; Menges & Exum, 1983; Rosser & O'Neil Lane, 2002), and salary discrepancies (Smart, 1991; Umbach, 2006) – each of which could be attributed to the lack of resources available at LGU as well as the lack of leadership. As the literature has demonstrated, the combination of these discrepant experiences can lead to higher rates of attrition both pre- and post-tenure (Menges & Exum, 1983; Rothblum, 1988). Third, a lack of supportive policies for these women, their partners, and their family responsibilities - a common occurrence in higher education settings (Wolf-Wendel & Ward, 2006) - was also disconcerting, leading several of these women to leave the institution. Fourth, it was evident that a lack of leadership or poor leadership also contributed to the aforementioned problems. As higher education leaders – particularly those at the departmental level – are those who set the tone for the departmental and institutional culture, those who serve as the connection between the upper administration and the faculty, and those at the lead of many change initiatives (Lucas, 2000), effective leadership is required for departmental and institutional change. In addition, this study demonstrated the usefulness of a qualitative approach to understanding the actual reasons for faculty departure. As advocated by other scholars of faculty attrition (e.g., Wenzel & Hollenshead, 1994; Zhou & Volkwein, 2004), a qualitative approach to understanding actual reasons for women faculty departure at the institutional level leads to a better understanding of the relationship between context and outcomes, “processes that experimental and survey research are often poor at identifying” (Maxwell, 1996, p. 20).

This study also added to the understanding of faculty departure utilizing systems theory (Bess & Dee, 2008). Systems theory assists in understanding how higher education institutions exist as an interrelated set of subsystems, each with their own rules and cultures, but yet in combination work to create a larger system of operation. According to Bess and Dee, the main thesis of systems theory “is that any action in any part of the system has an impact on the other parts of the system” (p. xxxviii). A systems perspective in this study allowed for an understanding of how the overlapping subsystems at work within and relation to LGU - including the department, the college, the institution, the university system, and the external environment - combined to create an atmosphere and conditions that led to these faculty women’s decisions to depart the institution. Except for the one woman who left due to the weather, every other woman interviewed stated that LGU or its

administration could have done something to ultimately retain them. Instead, they described cumulative negativity that culminated in their decision to leave the institution. It is this institution-specific or system-specific view of the problem of faculty attrition that provides a more comprehensive view of the reasons for faculty departure (Bess & Dee, 2008; Rothblum, 1988). And, while it could be argued that some of the issues raised in the interviews could be endemic to public institutions of higher education in general, there were several issues that were very much specific to LGU.

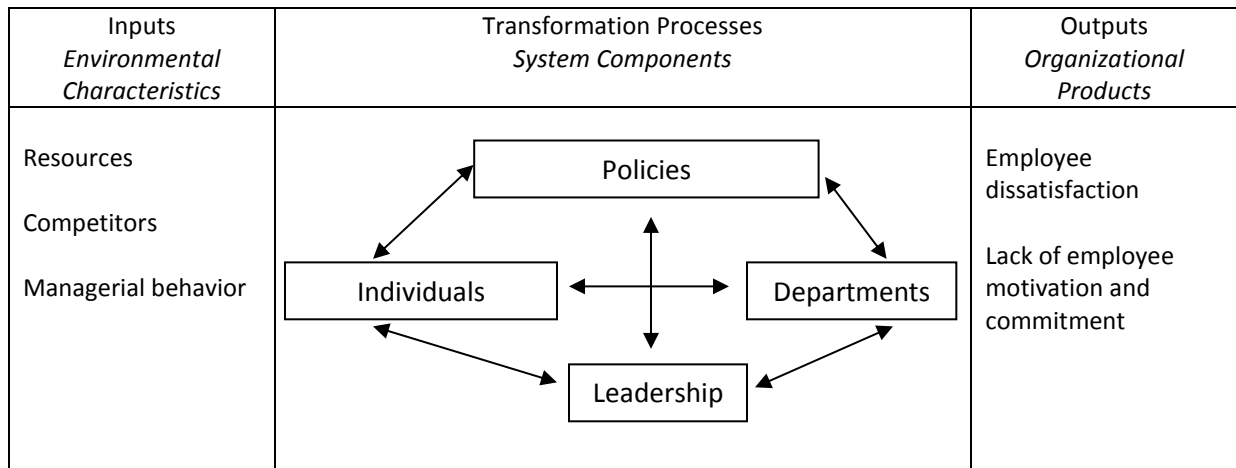
For example, LGU represents an institutional culture that is striving, or in the pursuit of prestige in the academic hierarchy. This type of culture is one that is influenced by external forces to compete with more prominent higher education institutions (Brewer, Gates, & Goldman, 2001). Also known as isomorphic institutions (DiMaggio & Powell, 1983), striving institutions exemplify certain characteristics such as increasing selectivity in student admissions, a greater research emphasis for its faculty, increasing tenure and promotion expectations, as well as a growing emphasis upon graduate programs (O'Meara, 2007). While LGU may demonstrate many of the characteristics described by O'Meara, it does not represent all. For example, while many of the women faculty, particularly those at the associate level, described the ratcheting up of expectations for research, they also discussed the consistently high teaching load (3 courses per semester in some departments), which stands in opposition to O'Meara's definition of a striving institution. Moreover, O'Meara also designated striving institutions as those in which a shift has been made to more spending on infrastructure and support, something not evident in LGU's state allocations as of late. In this way, LGU seems to be a system buffeted by competing external forces and caught in between two institutional worlds: one which they aspire to become but one that lacks the resources and infrastructure to do so. Consequently, it was this combination of a lack of resources and support with increased expectations that ultimately influenced many of these women to leave.

Furthermore, it was evident from these women's experiences that LGU can be categorized as a loosely coupled system. A loosely coupled system is one "in which the components have weak or indirect linkages" and one that "leaves room for people to figure out for themselves how to fill the interstices in the organizational chart" (Bess & Dee, 2008, p. 223). In essence, the loosely coupled nature of LGU's system is one that allows for incoherency in policies, a lack of accountability for leadership, and discrepancies in resource allocation. While it is true that most large, research institutions can be categorized as loosely coupled systems (Birnbaum, 1988), many of these institutions' components are able to function well because they share a common frame of reference (Bess & Dee, 2008). The women's experiences shared in these interviews demonstrate that LGU is missing this common frame of reference, perhaps due to the shifting organizational culture focused on striving behaviors.

Taken together, the experiences of the women faculty interviewed point to a systems model influencing their departure (Figure 2). For example, the inputs or environmental characteristics that influenced these women included things like a paucity of resources, ineffectual leadership practices, and the forces of external

competition driving a need for mission drift or striving behaviors. System components were subsequently influenced by these inputs, affecting the interplay of the individual faculty member within the departments and colleges, their leadership, and their policies. These components and inputs combined to create outputs of faculty dissatisfaction and low morale, thereby leading to departure from the organization.

Figure 2 – Systems Model of Women Faculty Departure at LGU



Implications

The findings from this study lead to several important implications for those at LGU but also for other institutions of higher education that may share characteristics with that of LGU. First, it is vital for those at LGU to determine the policies and structures that are missing from their institutional and departmental systems, particularly those that support women faculty. For example, a feasible family leave policy must be put in place and administrators should be trained on how to manage such policies in the scope of their respective departments. In addition, LGU's administration should conduct a salary analysis of its employees to determine if inequities exist and should work toward rectifying inequities when possible. Similarly, poor leadership and high turnover in academic leadership should be of concern to LGU's upper administration, who should determine why turnover happens and should establish more accountability for its current chairs and deans. Moreover, LGU needs to commit itself to a comprehensive evaluation of its vision and strategic plan in light of its available resources. While isomorphic forces affect most of higher education today (O'Meara, 2007), LGU must decide at what cost is the prestige they seek. If prestige is carried on the backs of their faculty members, whether through increased research, grant activities, or graduate programs, then faculty members need to be given the necessary resources and releases to accomplish these expectations. The literature shares scores of stories about similar striving institutions' failures to succeed in the aggressive academic competition for rankings (Morphew & Baker, 2004; Morphew & Huisman, 2002; O'Meara, 2007;

Zemsky & Massy, 1993). Perhaps LGU must reconsider its vision in light of its current realities. It is certainly easy to blame the organization of LSU for the problems encountered by these women but, at the same time, Bess and Dee (2008) point out that “blaming the organization ignores the fact that people created the organization in the first place, and they can change the organization if they desire” (p. xxxviii). Finally, although this study focused on attrition of women faculty at LGU, the stories of men faculty who depart LGU must also be heard. Surely, the implications for policies and practices to support women faculty will also support men. As the adage goes, “A rising tide lifts all boats.”

Limitations and Implications for Future Research

While this study explored women faculty departure in one institutional context, several limitations exist. For instance, given the lack of institutional records for departing faculty members, only those individuals who were identifiable through the Internet were contacted. This may have allowed for only a particular demographic to be included in the study (i.e., faculty who left for other academic positions versus faculty who left academia altogether). Furthermore, given the nature of the participant selection method, it is possible that only those faculty who were discontented with their time at LGU may have responded to call for participation in the study. In addition, this study only sought to understand the reasons for departure from one institution, thereby not allowing for generalization of the data to other institutions or institutional types. Future research must therefore continue to understand the complexity of faculty attrition through other contexts. Future studies should incorporate both men and women faculty members who depart to compare how a similar institutional culture or climate influences their decisions. Furthermore, future studies should compare institutional cultures to determine how size, location, resource availability, and institutional prestige affect the decision to depart. While large-scale quantitative studies are valuable and should be continued, they should be combined with qualitative studies to better determine the actual reasons for departure. Similarly, longitudinal studies of faculty who enter a specific institution and are followed over time may be helpful in determining how rank, years at the institution, race, age, and other demographic changes influence the decision to depart. Taken together, through a better understanding of the causes and consequences of faculty departure higher education institutions can work toward ensuring that their faculty are satisfied and retained in a positive and supportive working environment.

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