

Report to the Institute Council

on participation in the

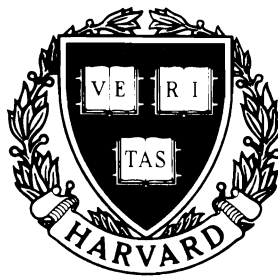
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Institute for Educational Management

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A.S. Appleton

REPORT TO COUNCIL ON PARTICIPATION IN THE INSTITUTE FOR EDUCATIONAL
MANAGEMENT, TENTH PROGRAM, HARVARD UNIVERSITY, JUNE 17th TO JULY 27th, 1979.

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REPORT TO COUNCIL ON PARTICIPATION IN THE INSTITUTE FOR EDUCATIONAL
MANAGEMENT, TENTH PROGRAM, HARVARD UNIVERSITY, JUNE 17th TO JULY 27th, 1979.

1. Background to Council Approval.*

In the latter part of 1978, I undertook a personal survey of the courses available (throughout the english-speaking world) that might enable me to fulfil a long-felt need to undertake some appropriate form of management training. From personal enquiries of fellow Directors of Australian colleges, many of whom have had opportunities to travel overseas and look at organisations offering courses in management, and from discussions with Mr. Carkeek of our own Institute, it became apparent that some of the most highly regarded courses offered were those of the Graduate School of Business at Harvard University, Massachusetts, U.S.A. These included courses offered both in the United States and Europe for senior managers in industry, for senior teachers of business management, and also an annual course offered in Boston, Massachusetts in conjunction with the Graduate School of Education under the auspices of the Institute for Educational Management of Harvard University. I pursued my enquiries about the latter course and in late February 1979, was able to make a proposal to M.A.C. and (following their strong support) to the Personnel Committee of Council, that I be allowed to be able to attend the I.E.M. course in mid-1979. The approval of Council was given at the March meeting, in time for my application to be made before the closing date of 31st March. My application was accepted in mid-April. From information made available during the course, it appears that I.E.M. selected the ninety-three American participants from approximately 250 applicants and the four overseas participants from twenty applicants.

*Footnote

This information is offered for the benefit of those members of Council who may not have been involved in consideration of the proposal.

2. Outline of the Operation of the I.E.M. Program.

As is evident from the dates above, the I.E.M. offer a residential program of six weeks' duration. The program is located within the campus of the Harvard Graduate School of Business Administration with staff drawn from that School, from the Graduate School of Education and from a number of external educational, industrial and government institutions and organisations.

The operational details of the course, content of the various segments of the course and of the instructing staff, are shown as Appendix I - these being segments of the Participant's Manual. It is believed that these give some insight into the atmosphere of the course as well as providing information. While the week-to-week volumes of schedule, case studies and supplementary materials are available for Council to peruse at their leisure (and I believe that a good number of the case studies would be of general interest to Council members), for the purposes of this report, a weekly schedule is shown as Appendix II with annotations to illustrate the range of materials offered and discussions which took place during the I.E.M. course. In Appendix III, a more detailed survey of one of the major and most interesting segments of the course (extending over two weeks) is shown so that Council may have some feeling for the depth of treatment. Appendix IV gives an outline of the additional activities organised during the I.E.M. Program.

3. Participants in the I.E.M. Program.

The program commenced with an enrolment of 97 participants, divided into two class sections of 48 and 49. Except for occasional absences by a few individual participants (which, in general, arose from emergency situations in their institutions), attendance by all participants, both in courses and discussion groups, approached 100% with most determined to be involved and to derive as much benefit as possible from the program. For the interest of Council members, a listing of the participants is attached as Appendix V.

The I.E.M. course participants were drawn from a wide variety of types of universities and colleges throughout the United States with four participants from overseas. The "Class of 1979" appeared to demonstrate an inverse relationship between the level of the participants and the size of the institution - i.e. the group contained chief executive officers of small institutions and as the size of the institution increased, the level of appointment held by the participant was lower in the hierarchy, down to about the level of Dean (Head of School). It is my understanding that this has been

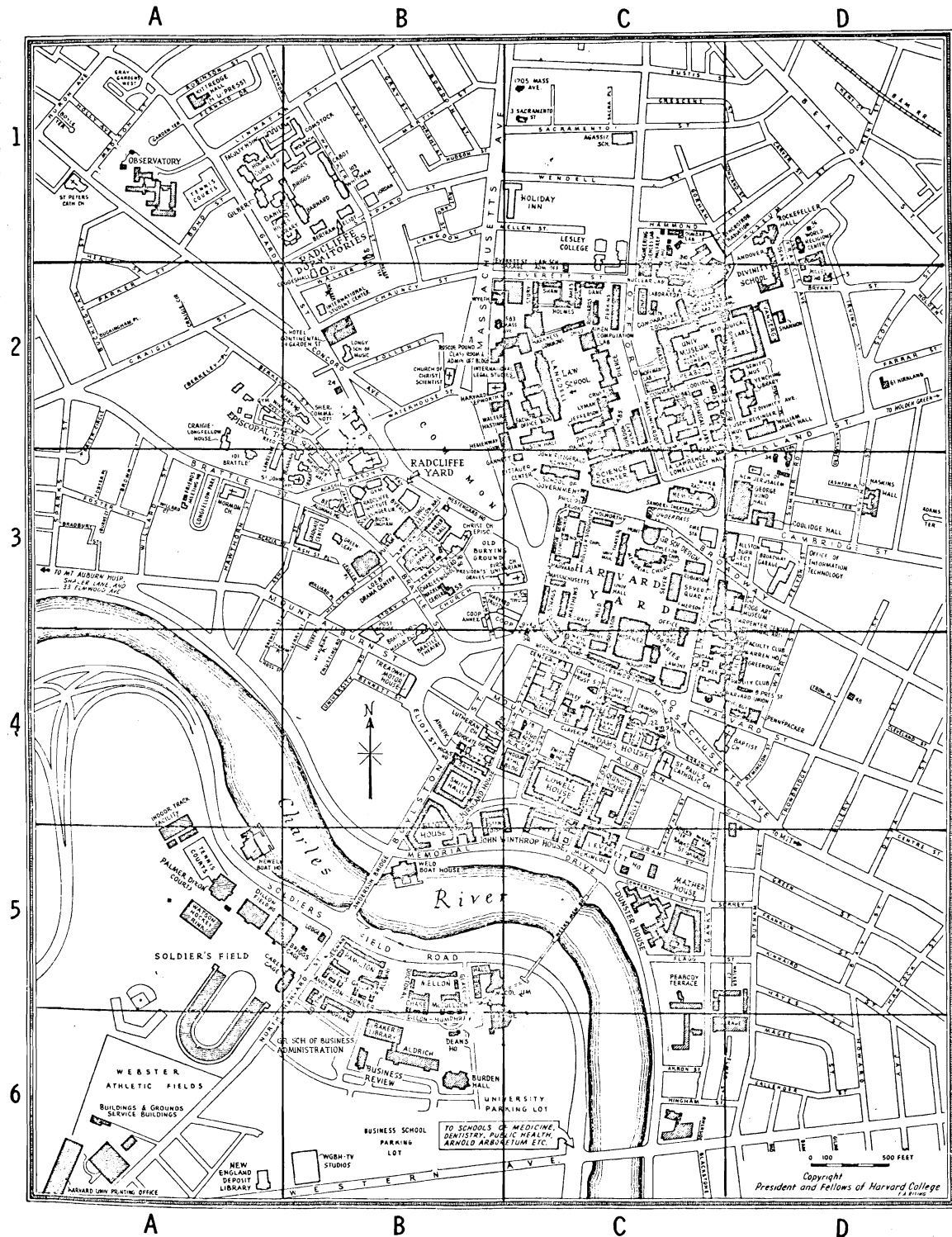
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HARVARD UNIVERSITY

INSTITUTE FOR EDUCATIONAL MANAGEMENT

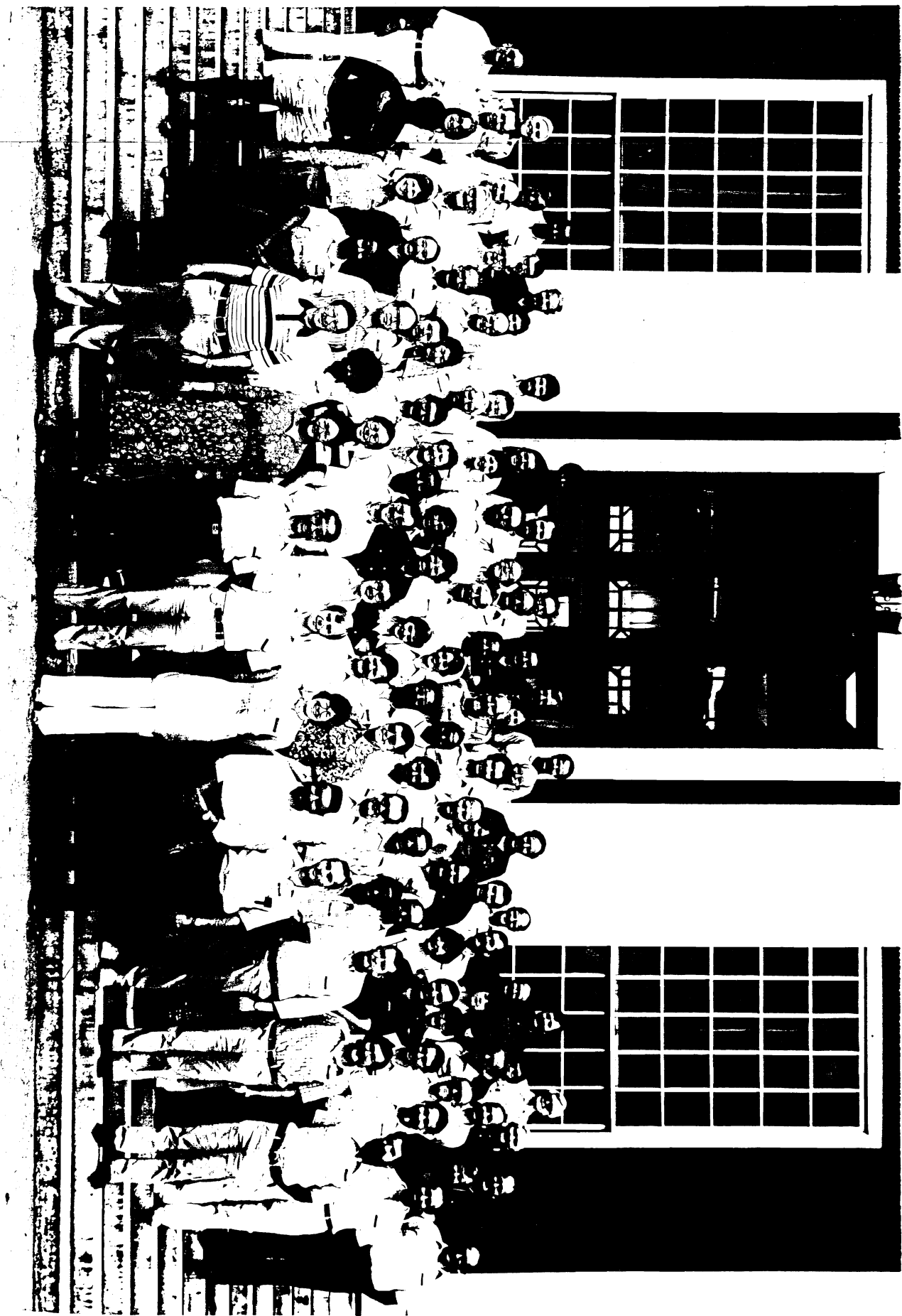
Gutman Library, Appian Way, Cambridge, MA 02138

HARVARD UNIVERSITY



HARVARD BUILDINGS

Adams House	C4
Albion Hall	B4
Agassiz Museum	C2
Albion Hall	D3
Alumni Ctr. (Business)	B5
Ames Hall	C2
Anderson	B6
Andover Hall	D2
Ames Hall	C2
Aspley Court	C4
Aspley Chapel	C3
Aspley House	C4
Athletic Dept.	C4
Austin Hall	C3
Baker Library	B6
Bachelor House	C3
7 Kirkland Street	C3
Biological Labs	C2
Biomedical Labs	C2
Botanical Museum	C2
9 Bow Street	C4
Boylston Hall Modern	C4
Boylston Ctr.	C5
Briggs Hall	D3
Briggs Garage	D3
Bryan Hall	B4
Buildings and Grounds	A6
Burr Hall	D3
Bush Hall	D3
Bush-Risinger Museum	D3
Business Review Bldg.	B6
Business Sch. Bldg. Lot	B6
C.E.A. Lab	C2
Carry Cape	B6
Carpenter Ctr. Visual Arts	C4
Cruff Research Lab	C2
Chase Hall	B6
Charles Warren Center	B3
Chemical Labs	C2
Child Hall	C4
Cleaver Hall	C2
Cognitive Studies	C2
Wm. James	D2
Comparative Zoology Mus.	C2
Computation Lab	C2
Coolidge Hall	D3
Conant Hall	C2
Conant Lab	C3
Conant Chem. Lab	C2
Coolidge Lab	C2
Cutting House	B5
Crimson	C4
Dana-Palmer House	C4
Dane Hall	C2
Dane's Hg. Business Sch.	B5
Dillon Field House	A5
Dillon House	B5
2 Divinity Ave.	D2
5 Divinity Ave. Prince H.	D2
6 Divinity Ave. Sanitiz Mu.	D2
7 Divinity Ave.	C2
Divinity Hall	C2
Divinity School	D2
One One Program House	B5
Durley House (Lehman Hall)	C1
Dunster Lab	C4
Dunster House	C1
53 Dunster St.	C4
77 Dunster St.	C4
Elliott House	B5
Emerson Hall	C3
Engineering Labs	C2
Engineering Support Bldg.	C2
6 Everett Street	C7
Faculty Club	D4
Faculty Office Bldg.	C2
Farlow Herbarium	C2
Fogg Art Museum	C3-D3
Fowler House	B5
44 Francis Ave.	D1
55 Francis Ave.	D1
65 Francis Ave.	D1
Gallatin Hall	B5
Gannett House	C3
24 Garden St.	B2
29 Garden St.	B2
Geological Lecture Room	C2
University Museum	B5
George Pierce Baker Hall	C2
Globe Lab	C2
Globe Flowers	C2
24 Oxford Street	C2



the general pattern of the background of participants in I.E.M. courses over the past few years.

The I.E.M. exercised "affirmative action" in the selection of their participants insofar as there were 13 blacks and 19 women participants in the course, in both instances a higher proportion than would be found at the senior levels of academic administration in American universities and colleges. It was clear during the course that many of the participants had strong expectations of moving to higher level positions and that, in a number of cases, they were being supported by their parent institution with that future progression in mind. It was noteworthy also that a small number of participants were being supported on the course to enable them to move to other institutions!

All participants lived in Hamilton Hall, ate in Kresge Hall, and attended the formal case study sessions in Aldrich Hall. Discussion groups met in a variety of available places by mutual agreement, and the physical education program utilised the Soldiers Field Stadium (or indoor track), and a number of adjacent playing fields. As are all of the Schools at Harvard, the Graduate School of Business Administration operates as a self contained and self financed unit within the University. In the case of G.S.B.A., the School is physically self contained also. The map attached indicates the urban spread of Harvard and the general layout of the University.

The academic background of the participants was diverse with a preponderance of the social sciences, but with a few scientists and engineers who had moved into educational management. The average age of the participants was about 43 (with age spread from early thirties to early sixties*), though the calibre of the participants was so consistently high that youth or age (or sex or colour for that matter) did not appear to impinge on the professional relationships between participants during the course. It did influence the social groupings of participants however.

* Recent "Equal Opportunity" Legislation in the U.S. has made it obligatory for all organisations in receipt of Federal Government funds to allow staff, with continuing competency, to remain until 70 years of age before compulsory retirement - the opposite trend to that in Australia.

4: General Observations and Perceived Benefits of the Program.

The success of a program such as the I.E.M. course is dependent on the calibre of both the staff and the participants involved, on the course environment, on the organisational details of the program and on the materials offered in the program. The atmosphere generated in the earliest part of the program can be critical to its success.

The relationships between these elements are not simple however, and a failing in any one element cannot readily be compensated by excellence in another. As could be expected by the choice of applicants offered to the program organisers and on the basis of my personal observation, the quality of the participants in the course was generally very high with all endeavouring to get the most out of the course - in many different ways throughout the various formal and informal parts of the program. The organisation of the program was impeccable, with attention to detail which could only arise after much experience with this sort of exercise. Clearly, the program was designed to ensure that a "work hard, play hard" environment was produced with group activities dominant so that an infectious atmosphere of striving was created. There is no doubt that these aspects of the course were highly successful. The Harvard Graduate School of Business Administration for work (and some play), in close proximity, by walking and subway, to Cambridge and Downtown Boston, provided an ideal environment for the program. The lack of random, unplanned distractions during the six day working week allowed a commitment to study, discussion, argument and intense intellectual effort which recalled, for me at least, the very best periods of my student days.

The quality of the material offered was generally of a high standard. The case study material in particular was written in a style which made reading a pleasure rather than a chore, and the major nominated texts, often authored by instructors in the course, were excellent. Thus, in spite of the large amount of material that had to be assimilated in the evenings (and early mornings), at no time did one feel that the work was difficult because it was boring. It may well have been however that parts of the material were of less interest to some of the participants than to one who had a much less detailed knowledge of the American higher education scene.

As will be evident from the Course Folders, the case studies were concerned mainly with institutions of higher education, though there was a small number of cases describing other non-profit organisations. All the cases were real,

often current, and some were disguised but some not. The disguised cases were often known to at least one participant in the course and thus to all.

In a number of the non-disguised cases, an active participant in the incidents described in the case was involved in the formal class session and the informal discussions on the case. Particularly when the case study was concerned with an on-going problem (e.g. Yeshiva University, University of Santa Cruz), the involvement of an active participant in the discussions lent an air of drama to the situation. There is no doubt that the prestige of the Graduate Schools of Business and Education, and that of the Institute for Educational Management at Harvard enabled cases to be written with a level of co-operation by the institutions concerned which was quite extraordinary, and unimaginable in the Australian tertiary education scene.

The calibre of the staff involved in a program such as that offered by I.E.M. is essential to its success. Indeed in the environment of a group of senior academic managers - all with teaching experience themselves - the demands for excellence (and the criticism for less) were perhaps unusually high. This was recognised by the organisers of the program, for two of the first group of instructors involved with the class were also amongst the most experienced with the case study method. Thus, these instructors (and others) had a personal presence and level of skill which enabled them to run the formal class sessions in an atmosphere of excitement with the class doing all the work. Thus, only an occasional question was directed at the class generally or at the most recent contributor to the discussion. In spite of the apparent ease with which such instructors operated, it was not uncommon for a class to applaud at the end of a particular stimulating session!

In contrast, a small number of instructors did not have the skills and backgrounds of the more experienced staff. In the high pressure atmosphere of the course, they were received with perhaps more of a negative reaction than they would have been by a less stimulated group. The nature of the case study method is such that the class sessions operate at a level where the difference between control and non-control of the class by the instructor is very slight. On a couple of occasions the class session survived breakdown more through the courtesy of the participants than through the skill of the instructor!

As emphasised in the participants' manual, the small discussion groups outside the formal class sessions were of great importance in testing and forming ideas and views on the variety of topics in educational management covered in the cases. In these discussion sessions, one was able to interact with seven or eight others, all of whom had spent several hours considering the case under discussion and had formed independent views, usually forcefully expressed. As might be expected, the limitation of the time available for the discussion sessions was a serious problem and, commonly, the discussion had to finish in an unresolved state to allow other cases to be discussed or attendance at a class. Nevertheless, these discussion groups were amongst the most valuable components of the course.

One of the more disappointing parts of the program was the series of elective sessions in which "experts" discussed a number of topics such as time management, executive stress, etc. (see Appendix I). With only two exceptions (neither attended by me) the sessions were held to be poor value by most participants.

The perceived benefits of attendance at the I.E.M. course are many, some obvious and immediate, though others of a more indefinite nature and difficult to articulate. Certainly the case study method, in the atmosphere of total involvement which was characteristic of I.E.M. offered an efficient way of gaining experience in educational management, through consideration of a wide variety of crisis or near-crisis situations in the academic environment. The opportunity for involvement in workshops and discussions of the cases with fellow participants (under the guidance of specialists in the area being considered) was one not readily achievable in the normal work environment.

Clearly also, a good deal of knowledge was also gained during the six weeks of the course. Although much of this knowledge was related to American higher education (e.g. Labor relations, the Law and Higher Education), there are many ideas and lessons which are immediately applicable in Australia and others which, I am sure, will arise in the future. Thus, for example, the unionisation of faculty (already widespread in the U.S.A.), is now a fact in this country and collective bargaining by academic staff is no longer a remote prospect. Equal opportunity legislation in America (so all-pervasive in the thinking of the public institutions), will require our increasing attention in the years ahead.

Additional to this increased sensitivity to the potential problems of educational management in the future, a number of immediately applicable ideas and opinion-forming impressions were gained at I.E.M. Thus, for example, I am now convinced that a more decentralised system of financial planning responsibility is needed if this Institute is to gain most benefit from the funds at its disposal. At a much lower level, it has become clear to me that the Institute should be using the potential for long range planning of its finances, academic programs and staffing needs which is afforded by the computer-based planning models now available. Between these extremes, the I.E.M. course has enabled me to broaden my thinking on a wide range of matters such as, for example, institutional goals, staff motivation, academic responsibility. These may not be impressions that produce immediately obvious results but, over the next few years. I believe that my experiences of I.E.M. will change the direction and style of this Institute.

Not least, the benefit of attendance at I.E.M. arose from the complete break that it afforded from the demanding tasks of directing the Institute. Such a break is not easily made unless an equally demanding intellectual task is undertaken. This was afforded by I.E.M. Needless to say, attendance at the course would not have been possible without the encouragement and support of the Institute Council and the ready willingness of Mr. Ron Young to undertake the Acting Directorship in my absence. The support of other senior administration staff in shouldering additional burdens was also necessary. My sincere gratitude is offered to the Council, Mr. Young and them.

APPENDIX I

*OPERATIONAL DETAILS AND CONTENT OF THE COURSE,
INSTRUCTING STAFF (FROM THE PARTICIPANT'S MANUAL).*

APPENDIX I - OPERATION DETAILS OF I.E.M. COURSE. (Extracts from Participants' Manual).

Can Groups. The basic organisational unit at Business School Programs has come to be known as the Can Group. Approximately 7 - 9 people comprise a Can Group. From time to time the Can Group functions as a social and recreational unit and during the first week of the program, the Can Group serves as a Discussion Group.

During the program, a dinner will be scheduled for each Can Group to meet and dine with a special guest. These guests typically are prominent educators and scholars, who will meet with the Can Group informally over dinner to discuss their work, interests and ideas. Whenever possible, the guests will remain after dinner to meet with others. You will receive more information about this as the program progresses.

Each Can Group will be given a sum of money to use "for social and educational purposes"; that is, as you see fit! You may use it to purchase beer, go on an outing, buy supplies, etc. The only request that we make is that you assign a person to keep financial records and receipts - the red tape at Harvard is incredible! You should select the "treasurer" by Friday, June 22nd, and have that person pick up the forms and money from the IEM office. Each Can Group should also select an individual who will serve as the group's representative to meet from time to time with the IEM staff.

Discussion Groups normally meet each day to go over the material which will be presented in class. They generally meet from 8 - 8.50 a.m. and again from 1.00 - 1.50 p.m. at places designated in the schedule. The Discussion Groups are reconstituted each week to increase each person's exposure to others in the program and to provide varied and rich exchanges of information related to the cases being studied. A leader is designated to facilitate discussion for each group.

Class Groups and Class Sections. Three Discussion Groups comprise a Class Group. Each Class Group will remain together in the classroom throughout the program. Two Class Groups constitute the Class Section. Thus, each Class Section contains about half of the IEM participants. Normally IEM classes will have about 45 - 50 participants, which should provide ample opportunity for full discussion and involvement.

At the start of the third and fifth weeks Class Sections will be reconstituted. At that time, please select any seat you like in the assigned classroom, but we ask that you not use the uppermost rows. The faculty would appreciate your occupying the same seat for all classes in that two week period. Doing so helps the faculty to get to know you more quickly.

The classrooms assigned will be used only by IEM. Thus, you may leave your namecard in place in the room. It is not necessary to take it with you after each class. Do not, however, leave behind valuables or important personal belongings.

The following pages contain a summary and diagram of the Class Organisation.

Discussion Groups

Class Groups

Class Sections

1 }
2 }
3 }

4 }
5 }
6 }

7 }
8 }
9 }

10 }
11 }
12 }

A }
B }

C }
D }

I

II

D. Class Organisation Summary and Diagram.

There are 12 Discussion Groups. Discussion Groups change weekly to allow participants to meet and discuss ideas with a wide range of people.

Three Discussion Groups form a Class Group, and Two Class Groups form a Class Section. The Class Group, approximately one quarter of all participants, stays together throughout the program.

Class Sections are reconstituted every two weeks.

	<u>Section I</u>	<u>Section II</u>
Weeks 1 & 2	A & B	C & D
Weeks 3 & 4	A & C	B & D
Weeks 5 & 6	A & D	B & C
	Room 107 Aldrich	Room 108 Aldrich

E. Attendance.

Participants are admitted to the program with the understanding that they are able to devote full time to IEM activities. The Institute looks upon attendance by each participant at all classes as essential if the program is to make a maximum contribution to both the individual and the group.

A participant's absence removes from the classroom one of the critical elements counted upon to make discussion most effective. If circumstances require that you must miss class or leave campus, please notify Fred Jacobs as far in advance as possible.

Faculty members make every effort to start classes promptly and finish classes on time. Adherence to the schedule maximises the time available for classroom discussion and minimises both the distractions that result

when participants arrive late and the inconveniences that result when classes run overtime. Therefore, please be certain to arrive on time for all classes.

F. Schedule.

Daily Schedule. IEM classes are held six days a week, Monday through Saturday. Generally, there are three classes daily. Discussion groups meet at 8.00 a.m. to present and consider responses to the issues and problems posed by the day's readings.

In class, faculty members guide the discussion so that various recommendations are advanced and assessed by the participants. The classes run for 75 minutes, starting at 9.00 a.m. On Monday through Saturday, the second class meets, after a half hour coffee break, from 10.45 a.m. until noon. After lunch on these days (except Saturday) the discussion groups reconvene to consider the case assigned for the third class which runs from 2.00 p.m. to 3.15 p.m. Participants typically use the afternoon and evening to prepare the next day's assignment or seek some recreation. IEM provides a voluntary recreational and physical fitness program each weekday afternoon. Dinner is served at 6.30 p.m. Monday through Friday. For Saturday dinner and all Sunday meals, Kresge Hall will be closed.

G. Courses and Faculty.

Control & Planning Systems

- Regina Herzlinger, Associate Professor
Harvard Graduate School of Business Administration

Labor Relations

- David Kuechle, Professor
Harvard Graduate School of Education

Law & Higher Education

- Harry T. Edwards, Professor
University of Michigan Law School

Management Information Systems

- Jack Buchanan, Associate Professor
Harvard Graduate School of Business Administration

Managing Financial Resources

- Robert Howell, Professor
New York University College of Business and Public Administration

Organisational Behavior and Design

- Louis B. Barnes, Professor
Harvard Graduate School of Business Administration

Personnel Policy & Administration

- Richard P. Chait, Assistant Professor
Harvard Graduate School of Education

Internal Environment

- Paul Ylvisaker, Professor and Dean of the Faculty
Harvard Graduate School of Education

External Environment

- Vernon Alden, Chairman
Massachusetts Business Development Council
- David Mathews, President
University of Alabama

H. Elective Modules.

During the program, three afternoons are set aside for elective modules.

The electives focus on specific topics, not covered in the curriculum, which may be of interest to you professionally and/or personally.

You are free to attend whichever elective you like. Presenters have been asked to talk for 30 - 45 minutes with the balance of the two hour period devoted to discussion. Room assignments for the modules will be announced in the weekly schedule.

Adult Development.

INSTRUCTOR: William G. Perry, Jr. is Director of the Bureau of Study of Counsel and Professor of Education at Harvard. He is the author of Forms of Intellectual and Ethical Development in the College Years.

TOPIC: Perry will report on his study which followed students through four years of college. How do students manage the "Pilgrim's Progress of Discoveries" during their college years.

Career Development and Self-Assessment.

INSTRUCTOR: Roderic C. Hodgins is Director of the Office of Career Development at the Harvard Business School. He has written widely on the subject of career planning.

TOPIC: Some guidance and suggestions about how to plan a career and conduct a self-assessment with respect to one's professional ambitions and abilities.

Management of Time.

INSTRUCTOR: John Quick is Director of the Lakehill Management Center, a consulting firm concentrating on "individual strategies". Previously, Quick served as a service professional staff member at Arthur D. Little.

TOPIC: Time, a finite and non-renewable resource, is a key ingredient in work effectiveness and successful career development. This elective intends to help participants identify and analyse assumptions, attitudes and behaviour patterns that affect use of time.

Executive Stress

INSTRUCTOR: Dr. Herbert Benson is Associate Professor of Medicine at Harvard. He also serves as Associate Physician at Beth Israel Hospital, where he is Director of the Hypertension Division. He is the author of Relaxation Response.

TOPIC: This elective will deal with the basis and practical application of an innate bodily response, the relaxation response. Its usefulness in counter-acting the effects of stress will be emphasized.

Personal Investing.

INSTRUCTOR: Valerie Mundt is Assistant Vice President of E.F. Hutton and Company, Inc., one of the largest brokerage and investment corporations in the United States.

TOPIC: How do you make the most of your money through investment opportunities? The module will consider issues such as selection of a financial advisor, establishment of investment goals, use of various investment vehicles and use of analytical tools.

Higher Education and the Press

INSTRUCTOR: Muriel Cohen, Senior Education Writer for the Boston Globe.

TOPIC: This module will suggest some ways colleges and universities can establish more effective working relationships with the press. How can colleges and universities "use" print and broadcast media to communicate with the public-at-large.

Higher Education and State Government.

INSTRUCTOR: Michael Dukakis is Lecturer and Director of Inter-governmental Programs at the Kennedy School of Government of Harvard University. Previously, he served as Governor of Massachusetts (1974-78) and as a member of the state legislature.

TOPIC: The elective will examine the political process as it affects higher education using examples such as the budgeting process and the state's role vis-a-vis independent colleges. The elective will place higher education within the larger context of state government and public policy.

Inside Philanthropic Foundations.

INSTRUCTOR: Laura Bornholdt is Vice President for Education of the Lilly Endowment. Previously, she served as an officer of the Danforth Foundation. She will be joined by Richard Johnson, Research Director, Exxon Education Foundation.

TOPIC: This elective will offer a view of foundations from the inside out. It will consider how a foundation sets its priorities, assesses grant applications, and evaluates the projects it funds.

Working with a Governing Board.

INSTRUCTOR: David F. Johnson is Chief of the Micro-analytical Services and Instrumentation Section of the National Institutes of Health (HEW). He has served as Chairman of the Board of Directors of the Association of Governing Boards and as a Trustee at Allegheny College and Prince George's Community College.

TOPIC: This elective will consider how trustees and senior managers can work more effectively together and how administrators can help trustees to do their job better. What kind of information guidance, and leadership does a board desire and expect from senior managers.

I. A Note on the Use of Cases.

Not all materials used at IEM are cases per se and not all faculty on all days teach by case method. Yet, it is the most common mode of instruction. To some, case method may be a new or only slightly familiar pedagogy. The purpose of this note is to introduce you to case studies and their use.

Cases used in the IEM program typically place the participant in the role of decision-maker. The great majority of cases describe real managerial situations, based on site visits, although names and dates have sometimes been disguised.

Dealing with these cases is very much like working with the problems that men and women encounter in their jobs as educational managers. You will be trying to clarify problems facing organizations, analyzing both qualitative information and quantitative data, evaluating alternative courses of action, and then making decisions about what strategy to pursue for the future.

Reflecting the uncertainty of the real-world managerial environment, the information presented in a case is often imprecise and ambiguous. The goal in using the case method is not to develop a set of "correct" facts, but to learn to reason well with such data as are available. You will find - and perhaps be frustrated by the fact - that except for certain quantitative exercises, there is no one right answer or correct solution to a case. Instead, there may be a number of feasible strategies management might adopt, each with somewhat different implications for the future of the organization, and each involving different trade-offs.

As a teaching approach, the case method can only be successful if you accept the role of an involved participant in the case, as opposed to that of a disinterested observer. Unlike lectures and textbooks, the case method of instruction does not present students with a body of tried and true knowledge about how to be a successful manager. Instead, it provides an opportunity to learn by "doing".

As an IEM participant, you will be exposed to a wide range of different management situations within the space of just six weeks. Yet, these cases collectively provide a much broader exposure than most educational managers experience on the job in many years. Recognizing that the problems with which educational administrators deal are not unique to a particular institution (or even to the field of higher education) forms the basis for a professional sense of management.

In spite of the realism which casewriters try to build into their cases, it's important to recognize that they do differ from "real world" management situations in several important respects. First, the information is "pre-packaged" in written form. By contrast, practising managers accumulate information through such means as memoranda, meetings, chance conversations, research reports, observations, externally published materials, and, of course, rumor.

A useful step, prior to class, is to discuss the case with a small group of classmates. In a discussion group, present your arguments and listen to theirs. The objective of this meeting is not to reach consensus, but rather to broaden, clarify, and redefine your own thinking - and to help others do likewise.

J. Class Discussions.

In class, you may find that the role played by an instructor teaching by the case method differs significantly from that of a lecturer. In case discussions, the instructor's role is often like that of a moderator, calling on participants, guiding the discussion, asking questions, and periodically synthesizing previous comments.

The role of participants is similarly different. Instead of being a passive note-taker, you will be expected to become an active participant in class discussions. Indeed, it is essential that you participate on a periodic basis. If nobody participated, there would be no discussion. And if you never join in the discussion, you would be denying other participants the insights that you may have to offer. Moreover, there is significant

learning in presenting your analysis and recommendations, and then debating these with your classmates who may hold differing views or seek to build on your presentation. But don't be so eager to participate that you ignore what others have to say. Learning to be a good listener is also an important element in developing managerial skills.

A few last words of general caution may be helpful. Avoid indiscriminate "rehash" of case facts in your presentations; the instructor and other participants have already read the case too. Work towards building a coherent class discussion, rather than making random comments. Before making a contribution, ask yourself if the points you plan to make are relevant to what has gone before or will result in a timely redirection of the discussion.

Occasionally, it may happen that you are personally familiar with the organizations depicted in a case. Perhaps you are privy to additional information not contained in the case or know what has happened since the time of the case decision. If so, keep this information to yourself unless and until the instructor requests it. There are no prizes for 20-20 hindsight, and injecting extra information which nobody else has is more likely to spoil the class discussion than to enhance it.

Learning comes through discussion and controversy. In the case method of instruction, the participants must assume responsibility not only for their own learning, but also for that of others in the class. Thus, it is important that you be well-prepared, willing to commit yourself to a well-reasoned set of analyses and recommendations, capable of contributive participation, and receptive to constructive criticism. If you and your classmates do not accept this challenge, you are likely to find the case method seemingly aimless and confusing. On the other hand, if you do accept it, then we are optimistic that you'll experience even exasperation that comes with being a manager in real world situations.

Second, cases tend to be selective in their reporting, since most are designed with specific teaching objectives in mind. Each must fit a relatively short class period and focus attention on a defined category of management problems within a given subject area. To provide such a focus - and to keep the length and complexity of the case within reasonable bounds - it may be necessary to omit information on problems, data or personnel seen as peripheral to the central issue(s) in the case.

In the real world, management problems are most often dynamic in nature. They call for some action now and further analysis and decisions at a later date. Managers are rarely able to wrap up their problems, put them away, and go on to the next "case". A case discussion in class, however, is more like a "snapshot" taken at a particular point in time. With this in mind, we have included a few instances in the program where there is more than one case on the same organization, thus giving you an opportunity to tackle different or continuing problems in the same institution.

A final difference between case discussions and the realities of management is that participants are not responsible for implementing their decisions, nor do they have to live with the consequences. But this does not mean that you can be frivolous when making recommendations in class. Your instructor and classmates are likely to be critical of your contributions to the class discussion if they are not based upon careful analysis and interpretation of case facts.

K. Preparing a Case.

Just as there is no one right solution to a case, so too there is no "correct" way of preparing a case. However, the following broad guidelines may help familiarize you with the task of case preparation. With practice, you should be able to establish a working style with which you feel comfortable.

First, it's important to gain a feel for the overall situation. What sort of organization is this? What problems does the management or administration appear to be facing? An initial skim reading of the case should provide you with some sense for what is going on and what information is being presented for analysis.

Now you are in a position to make a very careful second reading of the case. At this point, you should seek to identify key facts, clarify the nature of the problem(s) facing management, and determine the decisions to be made. Make some notes as you go along. Try to establish the significance of any quantitative data in the case (often presented in the exhibits). See if new insights may be gained by combining and manipulating data presented in different parts of the case. But don't accept the data blindly. In the case, as in real life, not all information is equally reliable or equally relevant. On the other hand, casewriters do not deliberately misrepresent

data or facts to "trick" you.

At this point, you should be in a position to identify alternative courses of action which the organization might take. Consider the implications of each alternative. Relate them back to the objectives of the organization, as defined or implied in the case (or as re-defined by you). Then develop a set of recommendations for future action, making sure that these are supported by your analysis of case data.

L. A Note on Discussion Groups.

The purposes of discussion groups are simple yet important. These sessions offer participants an opportunity to consider in small groups the problems a particular case poses as well as the strengths and weaknesses of various approaches to resolution of the problem. Discussion of the case prior to class expedites and enriches the discussion in class. Participants will come to class having already formulated, tested, and revised their own thinking based on the reactions, responses and thoughts of other members of the group. Discussion groups are intended for discussion. There is neither a desire nor an expectation that the group reach any consensus or vote on the various alternatives considered. Each week there will be a discussion group leader. The primary functions of the discussion leader are:

- (1) To focus discussion on the cases at hand. (It's easy to get side-tracked).
- (2) To moderate the discussion so that "air-time" is shared among all participants.
- (3) To encourage and prod all members of the group to be well-versed and fully prepared.

Discussion group leaders need not keep any record of the discussion, carry any report to the class, or feel any obligation to speak on behalf of the group during class. The roles are ones with which you are all no doubt familiar: running a small group meeting and leading a discussion.

APPENDIX II

ANNOTATED WEEKLY SCHEDULE

EM

SUNDAY	I	II	I	II	I	II	I	II	I	II	I	II
	18	MONDAY	19	TUESDAY	20	WEDNESDAY	21	THURSDAY	22	FRIDAY	23	SATURDAY
Registration	Bennett		Barnes Herzlinger Herzlinger Barnes		Barnes Herzlinger Herzlinger Buchanan		Barnes Herzlinger Herzlinger Barnes		Buchanan Herzlinger Herzlinger Barnes		Barnes Herzlinger Herzlinger Barnes	
	Barnes Herzlinger Herzlinger Barnes		Buchanan MIS Workshop		Buchanan Barnes		Buchanan MIS Workshop		Buchanan Barnes			

FIRST WEEKLY SCHEDULE

June 17 - June 23, 1979

Sunday, June 17

REGISTRATION DAY

2:00 - 4:00 p.m.

Registration - Hamilton Hall

After registering, participants are asked to read the Participant's Manual and review this schedule.

4:30 p.m.

Welcoming Session - Aldrich 107

5:30 p.m.

Reception - Hamilton Quadrangle

6:30 p.m.

Dinner - Kresge Hall

8:00 p.m.

Discussion Groups Meet (See Participant's Manual for location of meetings)

TYPICAL DAILY SCHEDULE

Monday, Tuesday, Wednesday
Thursday, Friday

Saturday

7:00 - 7:45 a.m.	Breakfast
8:00 - 8:50 a.m.	Discussion Groups
9:00 - 10:15 a.m.	Class
10:15 - 10:40 a.m.	Coffee Break (Hamilton Lounge)
10:45 - 12:00 noon	Class
12:00 - 1:00 p.m.	Lunch
1:15 - 1:50 p.m.	Discussion Groups
2:00 - 3:15 p.m.	Class
3:45 - 4:45 p.m.	Physical Fitness (Voluntary)*
6:30 - 7:30 p.m.	Dinner

7:00 - 7:45 a.m.
8:00 - 8:50 a.m.
9:00 - 10:15 a.m.
10:15 - 10:40 a.m.
10:45 - 12:00 noon
12:00 - 1:00 p.m.

*** NOTE 1:

MEETING LOCATIONS FOR DISCUSSION GROUPS

The meeting rooms for discussion groups are located in the basement of Hamilton Hall and in the bay window alcoves on the first floor of Aldrich Hall. We've enclosed a map to help you find these rooms. Virtually all of the dormitories are interconnected by a series of tunnels, adequately marked with sign posts and arrows. You may find these tunnels helpful on rainy days to approach Kresge without encountering the elements. Feel free to explore!

* Meet in front of Hamilton Hall

John Bennett - An Introduction to Case Study Method

9:00 - 10:15 a.m.	<u>All Groups</u> (A & B) Section I	Aldrich 107
	(C & D) Section II	

John B. Bennett, recently retired from the Harvard Business School, where he served as a Lecturer and Editorial Consultant for Educational Programs. He has an abiding interest in the development and use of case studies, a topic about which he has frequently written and spoken.

READ: Dashman Company

***NOTE 2: Memo on a Session with Section E

ASSIGNMENT: Read and be familiar with these pieces, but only discuss them if time permits; prepare the other cases first.

Louis (By) Barnes - Organizational Behavior and Design

10:45 - 12:00 noon	Class Groups A & B (Section I)	Aldrich 107
2:00 - 3:15 p.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Seneca University

***NOTE 3:

STUDY QUESTIONS:

1. What is going on in this case that had its origins in the situation before Professor Mathews arrived?
2. What did Professor Mathews bring to the situation?
3. If you had been in Professor Mathews' position, what would you have done differently? How?
4. What would you do as Professor Mathews at the end of the case? How and why?

Regina Herzlinger - Control

2:00 - 3:15 p.m.	Class Groups A & B (Section I)	Aldrich 107
10:45 - 12:00 noon	Class Groups C & D (Section II)	Aldrich 108

(Monday, June 18, cont.)

READ:

WJAC - 1977

***NOTE 4:

STUDY QUESTIONS:

1. How much of a loan do they require? The following format may be helpful in helping you to think about this issue:

	MONTH					
	1	2	3			12
Cash inflows						
Cash outflows						
Difference (inflows-outflows)						

3:45 p.m. - 4:45 p.m.

Physical Fitness (Voluntary)

Meet in front of
Hamilton Hall

Louis (By) Barnes - Organizational Behavior and Design

9:00 - 10:15 a.m.	Class Groups A & B (Section I)	Aldrich 107
10:45 - 12:00 noon	Class Groups C & D (Section II)	Aldrich 108

READ: Academic Caretakers - State Responsibilities
in Granting Degree Authority: the Case at
the Massachusetts General Hospital

***NOTE 5:

STUDY QUESTIONS:

1. What are the situational influences in this case, and how do they act upon each other?
2. What are the "carry over" issues and dilemmas that occur in both the Seneca and the Massachusetts General Hospital cases? How do they resemble each other in the two cases? How do they differ?
3. What would you recommend that Dr. Snyder do at the end of the case? Why?

Regina Herzlinger - Control

10:45 - 12:00 noon	Class Groups A & B (Section I)	Aldrich 107
9:00 - 10:15 a.m.	Class Groups C & D (Section II)	Aldrich 108

READ: WJAC - 1977 (continued)

***NOTE 4 (cont'd).

STUDY QUESTIONS:

1. Prepare a projected balance sheet and income statement.
2. What do they tell you about the financial condition of WJAC?
3. Do you think they'll be able to get a loan? If not, what alternatives do they have?

Jack Buchanan - Management Information Systems

***NOTE 6:

SPECIAL SESSION

MIS WORKSHOP

2:00 - 3:15 p.m.	Class Groups A, B, C & D (Sections I & II)	Aldrich 107
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READ: Introductory Note

This session will introduce participants to the fundamentals of Management Information Systems and provide an overview of the course. Unless you have an advanced knowledge of and expertise in the subject matter, you are encouraged to attend.

3:45 - 4:45 p.m.	Physical Fitness (Voluntary)	Meet in front of Hamilton Hall
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Louis (By) Barnes - Organizational Behavior and Design

9:00 - 10:15 a.m.	Class Groups A & B (Section I)	Aldrich 107
2:00 - 3:15 p.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Huron University

*NOTE 7:
STUDY QUESTIONS:

1. To the best of your knowledge, how would your own school view Professor Lyndon's promotion situation? Are you in general agreement with the Personnel Committee's recommendation?
2. Try to look at this case from:
 - a) the perspective of differing assumptions and expectations held by key individuals.
 - b) the perspective of groups in conflict with each other.
 - c) the perspective of how the organization is designed.
3. What would you do as Dr. McManus? How? Why?

Regina Herzlinger - Control

10:45 - 12:00 noon	Class Groups A & B (Section I)	Aldrich 107
9:00 - 10:15 a.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Western Electric 1977 Annual Report

*NOTE 8: How to Read a Financial Statement

STUDY QUESTIONS:

1. What is the financial condition of Western Electric?

Jack Buchanan - Management Information Systems

2:00 - 3:15 p.m.	Class Groups A & B (Section I)	Aldrich 107
10:45 - 12:00 noon	Class Groups C & D (Section II)	Aldrich 108

READ: System 1022

3:45 - 4:45 p.m.	Physical Fitness	Meet in front of Hamilton Hall
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BEER AND PRETZEL GET TOGETHER IN HAMILTON QUADRANGLE AT 5:30 P.M.

TONIGHT'S DINNER WILL BE A BARBEQUE AT KRESGE. THE FOOD WILL BE COOKED OUTSIDE; THE DINING ROOM WILL BE SET UP SO THAT YOU MAY TAKE YOUR FOOD AND EAT INSIDE.

TO REACH THE BARBEQUE AREA, WALK ALONG THE LEFT SIDE OF KRESGE AROUND TO THE BACK OF THE BUILDING. WE HOPE YOU WILL ENJOY THE CHANGE. AS USUAL DINNER WILL BE AT 6:30 P.M.

Louis (By) Barnes - Organizational Behavior and Design

9:00 - 10:15 a.m.	Class Groups A & B (Section I)	Aldrich 107
10:45 - 12:00 noon	Class Groups C & D (Section II)	Aldrich 108

READ: Yorktown College (A & B)

***NOTE 9:
STUDY QUESTIONS:

1. Who is/are the good guys? Who is/are the bad guys? Or are there other ways of comprehending this case?
2. The Chairman of the Board of Trustees has asked you to review the situation at Yorktown and recommend to the Board what you believe to be the best course of action.
 - Should the President and/or Vice President be fired?
 - Should the faculty be reinstated?
 - How should the Trustees deal with the union?
 - Should the Trustees be organized?

Regina Herzlinger - Control

10:45 - 12:00 noon	Class Groups A & B (Section I)	Aldrich 107
9:00 - 10:15 a.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Note on Accounting for Colleges and Universities, p. 3 - 7

***NOTE 10:
Pepys College

STUDY QUESTIONS:

1. Answer questions in the case.

Jack Buchanan - Management Information Systems

SPECIAL SESSIONS

MANAGEMENT INFORMATION SYSTEMS WORKSHOP

COMPUTER CENTER

1:00 - 2:00 p.m.	Class Groups A & B (Section I)	Baker 120 *
2:00 - 3:00 p.m.	Class Groups C & D (Section II)	Baker 120 *

NOTE: THE COMPUTER CENTER WILL BE AVAILABLE UNTIL 4:00 P.M. FOR EXTRA WORK. JACK BUCHANAN WILL BE THERE FROM 1:00 TO 4:00 P.M.

- * To reach Baker 120, enter through the front door by the pillared columns, turn right at first hallway. The door to Baker 120 is just down the hall on your right.

4:15 - 5:15 p.m.	Physical Fitness	Meet in front of Hamilton Hall
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Bob Scalise will lead a walking tour of Harvard Yard, the River Houses and the Science Center.

FRIDAY
June 22, 1979

Jack Buchanan - Management Information Systems

9:00 - 10:15 a.m.	Class Groups A & B (Section I)	Aldrich 107
2:00 - 3:15 p.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Astor College (A)

**NOTE 11: Who Runs the Computer? Chapters 1-3

STUDY QUESTIONS:

1. Prepare a report (paragraph) that describes your decision on the following issues:

- Need for computing services at Astor
- Computer system that will meet above needs
- Organization of data processing facility
 - a) Management
 - b) Operations

Regina Herzlinger - Control

10:45 - 12:00 noon	Class Groups A & B (Section I)	Aldrich 107
9:00 - 10:15 a.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Syracuse University, 1976 Annual Report

SKIM: Note on Accounting for Colleges and Universities, p. 7-20, 31-38.

***NOTE 12:

STUDY QUESTIONS: Answer the questions in the case.

Louis (By) Barnes - Organizational Behavior and Design

2:00 - 3:15 p.m.	Class Groups A & B (Section I)	Aldrich 107
10:45 - 12:00 noon	Class Groups C & D (Section II)	Aldrich 108

READ: The University of California at Santa Cruz (A) & (B)

***NOTE 13:

STUDY QUESTIONS:

1. How would you define Santa Cruz's key strengths and weaknesses as of the end of the (B) case?
2. Assume that when Chancellor Dean McHenry retired in 1974 that you were asked by the incoming chancellor to recommend a set of administrative improvements for UCSC. What would they be? How would you suggest that they be implemented?

3:45 - 4:45 p.m.	Physical Fitness	Meet in front of Hamilton Hall
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SATURDAY
June 23, 1979

Louis (By) Barnes - Organizational Behavior and Design

9:00 - 10:15 a.m.	Class Groups A & B (Section I)	Aldrich 107
10:45 - 12:00 noon	Class Groups C & D (Section II)	Aldrich 108

READ: The University of California at Santa Cruz (C)

***NOTE 13 (cont'd):

STUDY QUESTIONS: To be announced

Regina Herzlinger - Control

10:45 - 12:00 noon	Class Groups A & B (Section I)	Aldrich 107
9:00 - 10:15 a.m.	Class Groups C & D (Section II)	Aldrich 108

READ: Widener College

***NOTE 14:

STUDY QUESTIONS:

1. Answer the questions in the case

SPECIAL EVENT

COCKTAIL PARTY TONIGHT TO CELEBRATE THE END OF THE FIRST WEEK AT IEM

AT QUINCY MARKET - PARRIS ROOM 5:30 - 7:00 P.M.

Travel Directions: From Harvard Business School walk across Anderson Bridge, continue past the J.F.K. School of Government, and turn left on Eliot Street for the Harvard/Brattle Station. Take the "T" (Red Line) to Park Street. At Park Street change to the Green Line (Lechmere) inbound and get off at Government Center. Walk across City Hall Plaza and down the steps. Quincy Market is across the street from City Hall. Walk past the old Fanueil Hall building; there are three buildings and Quincy Market is the center building. Walk into the center of the building and go upstairs to the Great Hall which is on the left at the top of the stairs. Walk through the Great Hall; the Parris Room is straight ahead.

For those who like to walk, take the Red Line to Park Street; the "T" exit is at Winter Street. Walk down Winter Street to Washington Street; turn left on Washington past the Old South Meeting House to State Street. Turn right on State Street and almost immediately turn left onto Congress Street which puts you in front of City Hall. Quincy Market is across the street from City Hall. Proceed with directions above.

ENJOY THE WEEK-END

WE'RE GLAD TO HAVE YOU HERE

APPENDIX II (continued).

Notes to Weekly Schedule - Week 1.

NOTE 1:

This was the "minimum" typical daily schedule and was often extended by a further discussion group from 8 - 9p.m. including (during the first two weeks) time with a "finance tutor" - a young accountant from a Boston firm of accountants who (so they said) undertook the work free of charge for the experience.

NOTE 2:

The "Dashman Company" case is a short classic widely used in business courses which use the case method. It's included here for interest.

NOTE 3:

"Seneca University" is a case study concerned with a not untypical drama in an academic department. So that the questions in the weekly schedule can have some meaning (and to whet the reader's appetite for the cases not reproduced here but held in the Course Binders) this case is included also.

NOTE 4:

W.J.A.C. is a case study concerned with a public television station which derives its income from public membership subscriptions, contributions and grants from foundations and from local manufacturers. The case involves consideration of the balance sheets, income statements, cash flows, etc. for the station over the past three years. From these, projections for the next year may be made and a strategy for financing of new equipment purchases can be considered.

NOTE 5:

The Massachusetts General Hospital - Academic Gatekeepers is a long case concerned with the hospital's efforts to have degree granting authority from the Board of Higher Education for nurses and paramedical staff trained there. The high prestige of the hospital enables it to make a special case but much opposition is voiced from a number of local universities and colleges and from the nurses association. The case contains a lot of detail of costs and budgets, population statistics, proposed academic organisation of the hospital, etc. With the current move to college-based nurse education in Australia (15 years after the U.S.A.), the case was of topical interest to the Australian situation.

Harvard Business School

9-642-001

DASHMAN COMPANY¹

The Dashman Company was a large concern making many types of equipment for the armed forces of the United States. It had over 20 plants, located in the central part of the country, whose purchasing procedures had never been completely coordinated. In fact, the head office of the company had encouraged each of the plant managers to operate with their staffs as separate independent units in most matters. Late in 1940, when it began to appear that the company would face increasing difficulty in securing certain essential raw materials, Mr. Manson, the company's president, appointed an experienced purchasing executive, Mr. Post, as vice president in charge of purchasing, a position especially created for him. Mr. Manson gave Mr. Post wide latitude in organizing his job, and he assigned Mr. Larson as Mr. Post's assistant. Mr. Larson had served the company in a variety of capacities for many years, and knew most of the plant executives personally. Mr. Post's appointment was announced through the formal channels usual in the company, including a notice in the house organ published by the company.

One of Mr. Post's first decisions was to begin immediately to centralize the company's purchasing procedure. As a first step he decided that he would require each of the executives who handled purchasing in the individual plants to clear with the head office all purchase contracts which they made in excess of \$10,000. He felt that if the head office was to do any coordinating in a way that would be helpful to each plant and to the company as a whole, he must be notified that the contracts were being prepared at least a week before they were to be signed. He talked his proposal over with Mr. Manson, who presented it to his board of directors. They approved the plan.

Although the company made purchases throughout the year, the beginning of its peak buying season was only three weeks away at the time this new plan was adopted. Mr. Post prepared a letter to be sent to the 20 purchasing executives of the company. The letter follows:

¹ All names have been disguised.

This case was prepared as the basis for class discussion rather than to illustrate either effective or ineffective handling of an administrative situation.

642-001

Dear _____:

The board of directors of our company has recently authorized a change in our purchasing procedures. Hereafter, each of the purchasing executives in the several plants of the company will notify the vice president in charge of purchasing of all contracts in excess of \$10,000 which they are negotiating at least a week in advance of the date on which they are to be signed.

I am sure that you will understand that this step is necessary to coordinate the purchasing requirements of the company in these times when we are facing increasing difficulty in securing essential supplies. This procedure should give us in the central office the information we need to see that each plant secures the optimum supply of materials. In this way the interests of each plant and of the company as a whole will best be served.

Yours very truly,

Mr. Post showed the letter to Mr. Larson and invited his comments. Mr. Larson thought the letter an excellent one, but suggested that, since Mr. Post had not met more than a few of the purchasing executives, he might like to visit all of them and take the matter up with each of them personally. Mr. Post dismissed the idea at once because, as he said, he had so many things to do at the head office that he could not get away for a trip. Consequently he had the letters sent out over his signature.

During the following weeks replies came in from all except a few plants. Although a few executives wrote at greater length, the following reply was typical:

Dear Mr. Post:

Your recent communication in regard to notifying the head office a week in advance of our intention to sign contracts has been received. This suggestion seems a most practical one. We want to assure you that you can count on our cooperation.

Yours very truly,

During the next six weeks the head office received no notices from any plant that contracts were being negotiated. Executives in other departments who made frequent trips to the plants reported that the plants were busy, and the usual routines for that time of year were being followed.

The Institute for College and
University Administrators
AMERICAN COUNCIL ON EDUCATION

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SENECA UNIVERSITY

Seneca University has always been the largest and most prestigious publicly-supported university in its state, enrolling well over 20,000 undergraduate and graduate students. From an organizational standpoint, Seneca has long followed a practice of granting administrative and academic autonomy to its departments, which include persons of all ranks.

Each department at Seneca is organized with a head, with appointment made by the president for an indefinite period, after consultation with the appropriate dean and all members of the departmental faculty. The head's authority is defined in the by-laws as the "power to determine such matters as do not affect other departments". Hence, in departmental administration the faculty serve in an advisory capacity only, either through an elected committee or, as in the 117-member English Department, through a committee of the whole comprised of all department faculty on indefinite tenure.

The English Department

Professor Adrian Dorsett had been head of the English Department at Seneca for eighteen years. He was a thoroughly amiable person who strived to maintain pleasant personal relationships with others. Yet, to some of his younger colleagues, he never seemed to make any decisions or to take any action on his own. Not entirely in jest, they would refer to their department as the only one in the University in which the purchase of a box of paper clips necessitated a faculty meeting.

While this was an intended exaggeration, there was little doubt that Dr. Dorsett's time and energy were given mainly to minutiae. He assiduously avoided expressing opinions or asserting himself on policy matters, and partly as a result of this attitude, matters of real consequence were seldom seriously discussed. Moreover, because of their involvement in day-to-day administrative affairs, faculty members felt that they were unable to give proper attention to important concerns even when they did arise. To the outside observer, it seemed clear that Dorsett's tenure as head had been marked by few changes in curriculum and a perfunctory attitude toward faculty staffing.

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A few years prior to Dorsett's scheduled retirement, a small group of influential senior English professors joined in an attempt to arrest what they regarded as the decline of the department. With the blessing of Dean Andrew Brandon, they in effect took over the operation of the department, while Dorsett remained in office merely as a figurehead. As the Dean himself put it, "The department was deteriorating, but no one wanted to get rid of Dorsett. After all, in view of his long service to the department, the least we could do was let him retire gracefully. But the reputations of both the University and the department were at stake and something had to be done."

Many of the younger faculty soon became restive, however, under the leadership of what they called "the self-appointed oligarchy". Only full professors, they said, were kept apprised of what was going on. Moreover, many of the older professors, they felt, did not understand recent liberalizing trends. But since the "conservative" senior professors were firmly in control, the junior faculty felt there was little to do except await Professor Dorsett's retirement and the coming of a new department head.

A New Department Head Is Selected

As Professor Dorsett reached retirement age, the faculty was determined to find a person who could, by dint of personal leadership, return the department to its former position of eminence in the field. Despite their other differences, junior and senior professors were agreed that the department had seriously deteriorated, and all saw this as an opportunity to develop new departmental vitality. Not only did they want a person of established scholarship, but, as a senior professor put it, "one who can shake up the department, get rid of the deadwood, modernize the curriculum, and bring us new ideas and aggressive leadership". The Search Committee appointed by Dean Brandon consisted of the five professors with the longest service in the department.

After an intensive nationwide affirmative action search, the prime candidate was invited to campus. Professor H. G. Matthews, a Shakespearean scholar, still in his 40's, had spent most of his professional career at an Ivy League university. Recognized internationally for his own research and writing, Matthews was at the same time an outspoken critic of "narrowness" in graduate education. The fact that he lacked administrative experience bothered neither the Search Committee nor the Dean, since both felt that what the department needed most was new ideological leadership.

Over a period of three days, Dr. Matthews met with the Search Committee, Dean Brandon, and all segments of the faculty. "Never have I seen a faculty so ready for change and so eager for new ideas", he later commented. "This seems like the place where one could implement some of the exciting new ideas we've all been talking about." Impressed by the mutual enthusiasm engendered by the visit, Dean Brandon quickly endorsed the recommendation of the Search Committee. Satisfactory terms were agreed upon including a June appointment that would, as Matthews suggested to the Committee and Dean, "allow time for making some of the needed changes before the new academic year gets underway in the fall".

The First Faculty Meeting

Shortly after settling into his new duties, Professor Matthews called a meeting of the faculty to discuss some of the changes mentioned briefly during his visit to the campus. While not wishing to push matters too rapidly, he felt that the faculty was just as eager as he was to get to work on departmental problems. Indeed, the enthusiasm for change expressed during his interview and the warm welcome he had received since arriving were, in his opinion, encouraging evidence that the faculty was ready to move.

In his interviews, Matthews had sensed a rift between the younger members of the faculty and the older staff. While the apparent animosity was of concern to him, he did not see that it had any bearing on his first meeting with the faculty. He was aware also, from discussions with Dean Brandon, that a group of senior professors had in effect been directing the affairs of the department. He had understood, however, that this was a matter of short-term convenience, and indeed, the senior faculty had indicated how pleased they were, as one said, "to return these onerous administrative duties to capable hands so we can give our full attention once again to teaching and scholarship." Hence, Matthews had given the group hardly a second thought as he plunged into his new duties.

His announcement of the meeting was congenial and straightforward:

As all of you know, we have many things to do in the ensuing weeks and months. In informal discussions with many of you,

I have felt that you are as eager as I am to share ideas about our present situation and to begin deliberations regarding the future direction of our Department. I am sure that much of what we will wish to do can only be accomplished over an extended period. But there are certain more immediate concerns, as many of you have noted in conversations with me, which require attention before another academic year begins.

In order that we all may express our views regarding the matters before us without further delay, I am calling a meeting of the faculty for 2:00 p.m. next Wednesday, June 21, in the regular conference room.

The day after the announcement was circulated, a small delegation of senior professors appeared in Matthews' office to discuss his procedures in calling the meeting. "As you may know, Professor Dorsett never brought matters before the faculty at large without first clearing them with the senior staff and, for you to do so is somewhat of a breach of departmental procedures," one of the group stated. "Of course," he continued, "we realize you have not had time to familiarize yourself completely with all the procedural requirements which relate to the management of the department." Another member of the delegation explained: "Now we want you to understand we believe in handling our affairs democratically; it's just that we think the inexperienced younger faculty are not ready to participate responsibly in departmental decisions. You know how they get carried away with every passing fad." Shortly the spokesman for the group, sensing Dr. Matthews' surprise, offered helpfully: "We of the senior faculty have already talked the matter over; all of us will be glad to meet with you and work these things out in time for you to present the decisions to the faculty on Wednesday."

Matthews was considerably irritated by this apparent admonition and decided that the time had arrived to make himself clear on how he intended to function as department head. "While the practice of working things out with the senior faculty might be of long standing, I do not propose to continue it," he informed the group. "Matters that affect the whole department should be discussed and decided by the entire faculty and not just by those of us with senior rank." The members of the delegation were taken aback and hurriedly left the office.

Once the group had departed, Professor Matthews had second thoughts about his reaction. Perhaps he had been too abrupt with the delegation. Maybe he should meet with the

senior professors before the faculty meeting. But no, he thought to himself, that would not be fair to the junior faculty; after all, they were not second-class citizens of the department.

During the next few days, the new department head noticed a marked change in his relations with the senior faculty. Fewer showed up at the coffee room when he was there, their contacts with him took on an aura of formality, and small gatherings in the hall became more conspicuous. He noticed too, that the junior faculty, sensing that a confrontation had occurred, became more open in their criticisms of the senior professors.

Given the trend of events, Matthews became thoroughly worried about what he should do to arrest the growing schism within the faculty. He realized that the junior faculty was not rallying around him and that the senior staff was preparing to do battle against what they perceived to be his usurpation of their prerogatives. But there was not time now in which to do anything, for the faculty meeting was upon him. Perhaps, he reasoned, the meeting itself would help resolve the difficulties which threatened to embroil the department in open controversy.

When Professor Matthews entered the conference room for his first faculty meeting, the buzz of conversation quickly stopped. A fleeting glance indicated that most of the department's 43 faculty members on campus for the summer term were present. His anxiety increased as he noted the senior faculty segregated in a small group near the front of the room. After an exchange of pleasantries with several of the faculty, he went to the podium and called the meeting to order.

Disposing of the opening amenities rather rapidly, Dr. Matthews moved quickly into the substance of the meeting. Speaking from prepared notes, he reviewed his major observations about the department and delineated certain proposals he thought the faculty should consider, going into some detail on those he was recommending for the coming year. The meeting was then opened for discussion and comment from the faculty. A number of the junior faculty quickly rose to support the proposals, adding their own as they spoke. Encouraged by this response, Dr. Matthews began listing the proposals on the chalkboard.

The senior faculty listened stoically as the discussion proceeded. Finally, Professor John Markham, the senior member of the department in point of service and a man of great

influence in campus affairs, rose, as he expressed it, "to bring a little realism to the discussion from those of the faculty who have a little more experience and perhaps a little more maturity than some of the others." He then proceeded to ridicule every proposal which had been put forth, including those offered by Professor Matthews. After what seemed like an interminable period to the new department head, Professor Markham concluded: "Our department can be improved; no one questions that. But the senior members of this department will not stand idly by and watch the results of years of toil be swept aside for passing fads which have not stood the test of time."

A prolonged silence fell over the faculty. Dr. Matthews, as he later revealed, was astounded. Finally, he managed to ask if there were additional comments. Dr. Holt, an associate professor of several years service in the department, took the floor "to set the record straight." "This department," he began, "is where it is today not because of the toil of those of you who are senior professors but because you have thwarted every effort to modernize the department while giving lip-service to the need for change. Now that Professor Dorsett is gone and it appears some changes may at last be made," he continued, "you are alarmed because your own little empires are threatened. The younger department members support Professor Matthews in what he proposes to do, and it's time some of you among the senior faculty did more than simply stand in opposition."

The room was now in an uproar with a dozen or more of the faculty seeking the floor simultaneously. Matthews could sense the tension rising and quickly gaveled the meeting to order, stating that nothing would be gained by continuing the discussion at this time. He then announced the meeting adjourned and followed the faculty from the room.

Professor Matthews Determines a Course of Action

Deeply worried about the situation in which he found himself, Professor Matthews reluctantly concluded that there were basically two alternatives available to him. He could follow the pattern set by Professor Dorsett and make no effort to give the department viable leadership; or he could determine to push ahead with what he had begun and risk embroiling himself and the faculty in internecine conflict.

As he pondered the situation, Dr. Matthews concluded that he could not in good conscience accept the previous modus operandi as a pattern for himself. Any hope for rejuvenating the department, he felt, lay in the implementation of new ideas and programs and

the further development of the junior faculty. Thus, the only tenable course seemed to be in the direction in which he had started. Perhaps a more subtle, less direct strategy would make the proposed changes more palatable to the senior faculty and avoid any further unpleasant confrontation with them.

In order to retain the initiative, Matthews decided to move ahead on his original proposals. Undue delay, he believed, would be construed as a sign of weakness. Not wanting to risk another faculty meeting until the tension and hostility had subsided, but deeming it necessary to take some kind of positive action, he decided that the appointment of a small faculty committee to study the proposals (a suggestion offered before the first faculty meeting had been disrupted) might contribute significantly to the resolution of his and the department's dilemma. Such a committee, Matthews thought could study the proposals, assess their relative merits, and make some determination of the priority which should be assigned each of them. The intimate working relationships required in a small committee might, he felt, overcome antagonism between junior and senior committee members and even lead to decision consensus.

Informal discussions with several of the faculty revealed considerable support for such a course of action. Not unexpectedly, however, most of the senior professors indicated that one of the department's existing committees should be given the assignment. Construing the faculty's generally favorable reaction as tacit approval, he quickly set about appointing a committee comprised of six members of the faculty with two from each professional rank. The Committee's first meeting was scheduled shortly afterwards.

At the initial committee meeting, Dr. Matthews reviewed the function of the group, stressed its importance, and urged the members to be as expeditious as possible in their deliberations. He went on to say that he had relinquished hope of implementing major proposals in the immediate future because of the controversy they had engendered. Yet, he said, there were a number of less important and perhaps less controversial changes which could be made to great advantage before the Fall Semester began in late September. "It is my hope," he said, "that the committee will be able to reach some decision on these in time for approval at the September faculty meeting. The advisability of doing this, of course, is for you to determine. My own role will be less that of chairman and more that of committee member."

The committee, taking Matthews at his word began its work in earnest. But it soon became apparent that the rift between the junior and senior faculty would plague the committee. Even the "less important changes" became a source of irreconcilable dispute. For the committee to progress at all, each issue had to be decided by a vote, which was always five to two with the two senior professors in the minority. In Matthews' view, the senior faculty were out to thwart any changes in the department, whatever their nature.

The committee continued to work throughout the summer, with the two senior professors assiduously opposing the new head and the four junior faculty. With time, division in the faculty hardened, the senior professors becoming more rigid and the junior faculty more militant. Word of conflict began to spread, and colleagues in other departments began to talk openly about the cause celebre in the English Department. Finally, as the new academic year and first September faculty meeting drew near, Dr. Matthews decided to cancel the remaining committee meetings. Only in this way, he felt, could hostility between the two factions be reduced and open confrontation avoided.

The Second Faculty Meeting

No one seriously objected to the cancellation of the committee meetings, and the general tenor of faculty relationships seemed to improve once the meetings ceased. Moreover, members of the faculty returning to the campus after the summer away responded warmly to Dr. Matthews. Perhaps, the new head thought to himself, things would take a turn for the better. But he was still uneasy about what might happen when changes the committee was recommending for the Fall Semester came before the faculty for approval.

Professor Matthews arrived several minutes before the September faculty meeting was scheduled to begin. Their numbers swelled by those who had been away for the summer, the faculty filled almost all the seats in the room. In contrast to the first session, the senior professors were distributed throughout the room. The hum of conversation and amiable banter, Matthews thought fleetingly, gave the gathering an aura of congeniality and pleasant expectancy quite like that of any faculty group preparing for a new school year.

After calling the meeting to order, the new department head welcomed back those who had been away, and in a short statement expressed his hope that their year together would be

a pleasant and rewarding one. Moving rapidly through routine announcement and business items, he came soon to the agenda items which called for faculty action on the changes recommended by the committee for the Fall Semester. Dr. Matthews explained the changes in detail and then invited members of the committee to offer additional explanations and statements. Two of the junior faculty on the committee spoke briefly in support of the recommendations and responded to scattered questions induced by their comments. Just when it appeared there would be no further discussion, one of the two senior professors on the committee asked for the floor.

Indicating that he had been one of the committee's minority members, he said that he requested the floor only as a spokesman for the senior professors of the department. Reading from a prepared statement, he attacked the appointment of the committee and its recommendations as a scheme for perpetrating on the faculty changes which the administration found it expedient to impose. "The fundamental issue before this faculty," he said, "is not the approval or rejection of the committee's recommendations, but whether we shall approve the violation of established traditions of this department and the circumvention of duly constituted arrangements for the conduct of our business. As we all know, it has been the established policy of this department to bring all matters relating to the academic program to the senior faculty for discussion and deliberation prior to placing them before the whole faculty. This procedure assured the careful consideration and detached assessment which all matters of consequence should have."

"Our new department head," the senior professor continued, "has been duly advised of this procedure but has chosen not to follow it. While we can only speculate as to his reasons for not wishing to be bound by time honored and proven procedures in the conduct of the department's business, we do assert that their violation comprises the integrity of the department and seriously jeopardizes faculty control over departmental affairs. Therefore, we, the senior professors of this department, call on the department head to withdraw this item from the agenda until such time as the customary procedural requirements have been met. In the event he should choose not to do so, we call on the faculty to repudiate the procedures by which these matters have been brought before us by voting against the recommendations."

A copy of the statement, signed by most of the senior professors in the department presented to the department head. Undaunted in spite of the intimidation, Matthews

ignored the statement and moved on with the meeting, asking for additional comments on the Committee's proposals. There being none, he called for a vote on the recommendations. With the assistant and associate professors voting affirmatively as a body, the recommendations were overwhelmingly approved, and the meeting adjourned immediately.

Returning to his office, Matthews carefully studied the statement of the senior professors. It was, he felt, a carefully contrived personal attack upon him. More would follow, he suspected, unless some action was taken to appease the senior professors. It was clear now, or so it seemed to Dr. Matthews, that the basic issue was not the proposed changes but rather that of who was going to run the department--the senior professors alone or the whole faculty acting in concert with the department head.

The Controversy Deepens

Since the academic year was about to get underway, Dr. Matthews set about instituting the changes approved by the faculty and recalled the committee. Meeting once a week, the group was soon deeply involved in studying and discussing changes and innovations of considerable consequence. But, as before, the conflict of generations hindered the committee's effectiveness.

Approximately six weeks after the committee had resumed its work, Professor Peter Ebersole, the senior professor who had chaired the Search Committee which brought Dr. Matthews to Seneca University, asked if the group might meet with the chairman "to discuss the difficulties which have arisen in our department before further damage is done." Matthews readily agreed to the meeting, hoping that it would reduce tensions and lead to constructive action. Acting as the group's spokesman, Professor Ebersole began by stating that since the committee had brought Dr. Matthews to the campus, they felt a particular responsibility for the problems which now existed in the department. "Although we are surprised and dismayed at the turn of events," Professor Ebersole continued, "we feel, in a sense, that we have been partially responsible for creating the present situation."

The inference that his coming to the campus was the single cause of their problems annoyed Dr. Matthews, but he said nothing. "We don't need to remind you," Professor Ebersole continued, "that the senior professors in the department are very much disturbed

about what you are trying to do and about the tactics you are using. We want to help rectify some of the mistakes which have been made and to do so as expeditiously as possible. Specifically, we have two proposals we want to make to you which we believe will solve most of your problems with the senior faculty. And may we say in making these proposals," he went on, "that we have discussed them with the senior faculty and they have asked us to apprise them of your reaction."

The members of the delegation explained their proposals and gave detailed reasons for them in an extended discussion. Simply put, they asked Matthews, first, to dissolve the committee he had appointed to study and recommend changes in the department, and, second, to return to the practice of taking departmental affairs to the senior faculty for discussion and deliberation before bringing them before the general faculty.

Hesitating only momentarily at the conclusion of Professor Ebersole's remarks, Dr. Matthews reaffirmed his commitment to the work of the committee and again stated his unwillingness to return to the procedures developed during Professor Dorsett's administration. "Then your position remains unchanged?" queried Professor Ebersole. "That is correct," answered Dr. Matthews. "We had hoped you might reconsider; but since you are firm in your position, there is no reason to discuss the matter further," Professor Ebersole said as the group rose to leave.

During the next three weeks, no additional confrontations occurred and the work of the committee continued apace. Relations between the new head and the junior faculty grew warmer and more friendly, but the senior professors remained formal and aloof.

Almost four weeks after the visit of the Search Committee delegation, a letter, signed by twenty-one of the department's twenty-six full professors, with copies to Dean Brandon and Provost Ian McNeill, came to Dr. Matthews' desk through the campus mail. The message was brief and to the point:

With great reluctance and motivated only by what we consider to be a matter of paramount importance, the future progress and well-being of the English Department of this University, we the undersigned hereby convey to you our loss of faith in your leadership and in your ability to contribute to the welfare of this department in the position you now occupy. Convinced that the work of the department cannot continue to go forward under your administration, we believe the best interests of all concerned would be served by your prompt resignation as Head of the English Department of Seneca University.

NOTE 6:

These workshops were concerned with an introduction to Management Information Systems. As noted elsewhere in this report, the workshops (together with other sessions in this section of the course) were disappointingly elementary. The session involving the use of the computer assumed no knowledge of the latter and was concerned with simple sorting of student records.

NOTE 7:

The Huron University case is concerned with the potential problems of the administration of the University when in confrontation with the academic staff union over a promotion denial. Repeated recommendations for the promotion of a professor by his Faculty have been denied by the Personnel Committee of the Board of Governors on the grounds of inadequacy of his research. The case is concerned with differing attitudes to what comprises research and the tensions within the organisation arising from the denial.

NOTE 8:

The study material is the 1978 Annual Report of the Western Electric Company, a subsidiary of American Telephone & Telegraph. The case is essentially a study of the way in which a financial situation is formally reported and the inadequacies and over-simplification in a public document of this type.

NOTE 9:

Yorktown College is a long two part case concerned with a complex problem of a small, two campus university which is having enrolment difficulties and whose survival is threatened. The interpersonal relations within the organisation are considered in some detail, as is the complex administrative structure of the institution. The case is ultimately concerned with the problems confronting the Chairman of the Board of Trustees faced with the need for staff retrenchment, Faculty Union opposition to this, and demands from a substantial fraction of the staff for dismissal of the President who nevertheless is highly thought of by the Board. The Chairman's problems are further complicated by the threat of loss of college accreditation and a power struggle in senior administration. A most interesting case.

NOTE 10:

The "Note on Accounting" is a fairly detailed paper on the special features of accounting in colleges and universities, with consideration of all aspects of the financial reporting of college accounts and the handling of all types of endowment funds and other income. This material was background to a number of cases involving the financial operations of colleges and universities.

The first of these was the Pepys College case, a very short and simple exercise,

which is concerned with the basis on which a small college can raise money to assist it in its cash flow problems.

NOTE 11:

The Astor College case(s) were the most interesting part(s) of the Management Information Systems section of the course. They are concerned with the background to an impending decision of the college to upgrade its computer capacity by a major acquisition, and the complex issues involved in such a decision. As always, interpersonal relations play a not insignificant part in the considerations, particularly when it becomes apparent that the new facility is not working properly.

NOTE 12:

The Syracuse University case was a further and more complex consideration of the financial statements of a University and the trends over two years. A wide range of implications of the financial state of the university were considered.

NOTE 13:

The University of California at Santa Cruz case is a long three part case concerned with the trials and tribulations of an educational experiment. The case covers a very wide range of the details of the largely undergraduate university including educational philosophy, structure, organisation of teaching, the special role of the student residences, and the tensions and problems which have arisen out of the experimental nature of the university. The further difficulties which arise when the problems of falling enrolments emerges (becoming critical in early 1979) were also considered. The case was particularly interesting, as one of the course participants was a senior member of staff at Santa Cruz, and was very much involved in the current difficulties of the university.

NOTE 14:

The Widener College case (not disguised) was a further consideration of the financial basis for a college's operation with particular emphasis on the problems of operating a very costly Engineering Center in a financially difficult situation. A detailed analysis of the costs of the engineering courses year to year was required.

APPENDIX III

SOME DETAILS OF A COURSE SEGMENT

APPENDIX III. Some Details of a Course Segment.- Labor Relations.

One of the most extensive and interesting segments of the I.E.M. Tenth Annual Program was the segment "LABOR RELATIONS" instructed by Professor David Kuechle of the Harvard Graduate School of Education. The segment spanned twelve sessions spread over two-and-a-half weeks and involved seven cases, two of which included simulation exercises - a grievance negotiation and an academic staff collective bargaining exercise. A listing of cases is shown attached. Most of the cases are large in terms of material to be assimilated, and three were in multiple sections which were offered in sequence to the participants as the case was unfolded. As all cases are copyright, the reader is referred to the Course Binders (Vols. 3 and 4) for the material. In this Appendix, a commentary is offered on the cases, which should be read in conjunction with the case materials.

*Excelsior University is a case concerned with the legalities of the faculty (academic staff) unionisation and collective bargaining process. A scenario is created in which the newly appointed President of Excelsior University is confronted with a drive for unionisation of the faculty by the American Association of University Professors. The President seeks advice from a labor lawyer and the case consists mainly of a series of questions and answers in a number of conversations between the President and the lawyer. The formal prescribed procedures are followed through by the A.A.U.P. and eventually the faculty vote to join A.A.U.P. - to the dismay of the President. Subsequently, the A.A.U.P., as a bargaining agent, negotiates with the labor lawyer acting on behalf of the University. The lawyer/President conversations again record the progress of the negotiations which are completed satisfactorily without the threatened strike by faculty.

Though strictly not a case study in the normal sense, the Excelsior University case does offer the information in a very attractive and readable style - certainly much more so than it would be if presented in a normal textbook. The case provided background for a number of subsequent cases in the Labor Relations segment of the course.

*William Michelman is a case concerned with the grievance and arbitration procedures which a union may undertake to protest the dismissal of a member - in this case a plumber found sleeping on the job after a heavy night's drinking. Consideration of the case involves the action which the university administrator responsible may take when put into a confrontation situation with the union through action of his subordinates responsible for the early steps of the grievance procedure.

*Superior State College is a major case in three parts (offered successively as the case progresses) concerned with the problems experienced by maintenance and grounds staff union representatives (and the university) when members of a second union representing power house workers at the university decide to strike following breakdown of bargaining negotiations. The power house union workers picket the university, producing difficult problems for the maintenance staff union who have an agreement with university which precludes strikes while their agreement is in force.

As with the Excelsior University case, the material is presented in a dramatic style with conversations, notices, etc. reported in the text, together with the thoughts, hopes and actions of the personalities involved on both the union and university sides. The questions to be answered in the case involve the decisions and actions to be taken by the university and the implications of these for the present and future relations of the university with its staff. Again, the case presents the essential bases for negotiation and arbitration in American higher education.

*The Shalimar University case is in two parts, (superficially unrelated) and formed the basis for a grievance procedure simulation. The course participants negotiated in groups of six (three union, three management) on the two cases which involved;

- (a) a grievance arising from a carpenter being passed over for promotion by the university's appointment of a less senior man
- (b) a grievance arising from the university's action in reinterpreting the longstanding overtime guidelines on one of its campuses to bring them into line with the practice on its other campus.

The exercise required each team of three to meet and decide its strategies before meeting (as many times as required) with the opposing team. The meeting was the final stage of the grievance procedure which, if not satisfactorily concluded then went to binding arbitration. The attitudes of both sides were influenced by their expectations of this next step.

The majority of the negotiating groups were not able to settle one case (case (a)) but most concluded the second successfully.

The simulations were good examples of the atmosphere of endeavour in the whole I.E.M. course, for generally the negotiating teams became very involved in the exercise and argued long and hard to try to reach agreement*.

*The Samuel Hughes Ripley College case is in two parts offered successively. It is concerned with the difficulties faced by the President of the university after a female staff member is denied tenure under circumstances which point to sex discrimination. The American Association of University Professors (the bargaining agent for the college academic staff) file a grievance against the denial, made by the Tenure Committee of the university against the recommendation of the staff members Department Committee.

The case illustrates the difficulties that can arise from incautious procedures (and comments) which deny the staff member "due process". For under the American system (and, I suspect, under ours) the decision can be ruled out of order at Arbitration if due process has not been accorded to a person covered by a registered agreement which specifies the process.

The case proceeds through the formal grievance procedures to the point of appeal by the A.A.U.P. to (binding and independent) arbitration. The A.A.U.P. plead on the grounds of unfair decisions regarding the staff member's quality of research. We are told that the appeal was lost as the arbitrator refused to consider such an issue and only concerned himself with whether "due process" had been followed.

*FOOTNOTE:

The experience of being a union leader was one that I shall not readily forget, for the management team opposing us turned up in full informal dress with cigars at the ready and a patronising attitude to match. However, when our insistence that the meeting be not tape-recorded was successful, we knew that we had them on the run.

*The Yeshiva University case is a long document (of 65 pages) concerned with a situation of great current importance in American higher education. At the time of the I.E.M. course, the endpoint of the case was to be consideration of the matter by the U.S. Supreme Court. The hearings are taking place this month - October 1979. The case is entirely non-disguised and the formal class session on the case was attended by one of the faculty union leaders and the lawyer who has pleaded the university case before the 2nd Circuit Court of the State of New York and would plead before the U.S. Supreme Court. Both entered into the class discussions (at a very cautious level) and their presence in the class gave an atmosphere of tension to the proceedings which was noticed by all participants.

The case is a long and complex one but essentially involves the move of the faculty of Yeshiva University (a Jewish University in New York City) to unionise, the efforts of the conservative university administration and Board of Trustees to oppose this movement, and the consequences of the successful unionisation of the faculty. The University administration refused to negotiate with the legally constituted bargaining unit, which resulted in the University being taken to court by the National Labor Relations Board. On the issue of the supervisory role of staff in the University, the latter first lost the case in the Administration Law Court but won in the Second Circuit Court of Appeal. Thus the issue was brought before the U.S. Supreme Court by N.L.R.B. The case is of fundamental importance for private universities and colleges for, if the Supreme Court rules as did the lower court, the position of all collective bargaining units in institutions of higher education will be in doubt. In anticipation of the Supreme Court ruling, a number of universities and colleges have delayed movement towards faculty unionisation.

The case examines the broad basis for the move to faculty unionisation at Yeshiva. The conservative faculty (all Jewish) believe that they do not have any meaningful involvement in the university's affairs and that they are not being told the truth when financial stringency arguments are used to keep salaries at very low levels. The income statement does not point to imminent financial crisis. The case also presents (at length) details of the administration's attempts to "persuade" staff to resist unionisation, with some interesting memoranda from the President of the University. The reader is referred to the full case (Vol. 4 of the Case Binders) for details.

*Wachovia Central University was a major case at the end of the Labor Relations section of the I.E.M program which involved the participants in a full scale faculty collective bargaining simulation over two days. The case is presented as the final stage of an exercise in which the University and the faculty union representatives still have much progress to make (in the remaining two days before the current agreement expires) if a new agreement is to be signed. Teams of four participants were assigned to develop positions (as union or university administration teams) and could then meet (both formally and informally) as they saw fit to discuss the issues remaining. As the case shows, the University was subject to severe financial constraints which did not allow it to meet union demands. A program was available on the G.S.B. computer to allow calculation of the costs of proposals. A number of non-financial conditions for the new agreement were also being pressed by the union.

The format for the exercise is illustrated by the attached memorandum from David Kuechle. The exercise was a most interesting and absorbing one, with very tough attitudes being taken by both sides. The particular (university) team which I led was successful in finalising an agreement with the union which allowed for increases in the universities' contributions to hospitalisation and retirement benefits but restricted the pay increase to below the guidelines set by the State Legislature. The majority of the other points of agreement were conceded by the union representatives.

From the reports given in the closing session of the Labor Relations section, it was apparent that all teams negotiated with vigour, though some more successfully than others. The closing session took the form of the whole group of participants forming

- (a) The faculty of Wachovia Central
- (b) The Board of Trustees

receiving reports alternatively from the faculty bargaining group and the University Administration. The atmosphere of the session was alternatively radical and reactionary, with a good deal of humour as the speakers reported their agreements in true role-playing manner.

INSTITUTE FOR EDUCATIONAL MANAGEMENT

1979

LABOR RELATIONS

David Kuechle
Gutman 465
5-3405

<u>Date</u>	<u>Session</u>	<u>Materials</u>
June 30	1	Excelsior University
July 2	2	The Case of William Michelman
July 3	3	Superior State College (A) Superior State College (B)
July 5	4	*Superior State College (C) <u>June Weisberger, Faculty Grievance Arbitration in Higher Education</u>
July 6	5	Shalimar University (A) Shalimar University (B)
July 7	6	No assignment
July 9	7	Samuel Hughes Ripley College (A) *Samuel Hughes Ripley College (B)
July 10	8	*Yeshiva University
July 11	9	The Collective Bargaining Process R. W. Fleming, The University of Michigan, <u>Public Employee Bargaining: Problems and Prospects</u>
July 12	10	Wachovia State University
July 13	11	Wachovia State University
July 16	12	No assignment

*To be distributed separately

HARVARD UNIVERSITY
INSTITUTE FOR EDUCATIONAL MANAGEMENT

MEMORANDUM

TO: IEM Participants
FROM: David Kuechle
RE: Contract Negotiations
DATE: July 11, 1979

On Thursday, July 12 and Friday, July 13, IEM participants will negotiate a new contract between Wachovia Central University and the Wachovia Central University Faculty Association. This will be the fourth contract between the parties.

The Procedure

1. The class has been divided into 12 bargaining groups. On Thursday and Friday the groups will meet in the assigned conference rooms to negotiate. (Lists attached)
2. Each chairperson, designated on the lists, should arrange a meeting of his/her team before the time appointed for negotiations. Here the teams should determine what they would like to achieve during the negotiations and should work out an appropriate strategy.
3. The Faculty Association has given notice that the deadline for negotiations is 3:30 p.m. on Friday. This represents an extension by mutual agreement of the original termination date of the contract - June 15. For the purposes of this exercise please assume that requirements of the state law which call for mediation and fact finding in advance of any strike action have been met. The Faculty Association has already announced that they may call a meeting of the entire faculty and recommend strike action if agreement has not been reached by 3:30 on the 13th.
4. Wachovia Central is on the tri-mester system. The summer quarter began on Monday, June 4, but there has been no assurance from the faculty that they will continue working for the entire term in absence of a contract.
5. From 3:45 til 5:00 on Friday, all IEM participants will assemble for a general meeting in Aldrich 107 for feedback on the outcome of negotiations. Chairpersons will be asked to state the contents of their agreements if there is agreement or to define the issues still in dispute, if any. Each individual will be expected to defend the position taken by his/her team.

IEM

IEM Participants
July 11, 1979
Page 2

6. At 5:00 p.m. on Friday there will be a celebration for all participants in Hamilton Lounge or outside in the Hamilton courtyard if weather permits. Naturally, those on strike may have more pressing matters and may not be able to attend the party. If this happens, we will miss you but will also understand.

Materials and Information

1. The basic case, Wachovia Central University (9-679-521) is in your materials packet. All class members should read this carefully as a first step.
2. After your first group preparation meeting you may decide that you need additional information. Dr. Charles Ping, Provost at Wachovia Central University, will be available in Hamilton Lounge on Wednesday evening from 8:30 p.m. until 10:00 p.m., on Thursday from 9:00 a.m. until noon and in the evening from 8:30 p.m. until 10:00 p.m., and on Friday from 9:00 a.m. until noon, to answer your questions. Dr. Ping will also rove among the meetings as an observer. Please formulate your questions clearly and concisely for Dr. Ping because he is likely to be very busy during these times.
3. Dave Kuechle will be available to answer questions in Hamilton Lounge at the same hours as Dr. Ping and at other times in and around the campus or at home. You may call at any time.

Office: 495-6424

Home: 876-8073

4. A computer program has been worked out to assist teams in calculating costs of various proposals. Information on the program is attached.

General Rules

1. Please do not manufacture self-serving "facts". To do so would detract from the realism of the experience.
2. Please do not communicate any decision or lack thereof by your bargaining group to members of other groups prior to the general meeting at 3:45 on Friday.
3. Although the initial case is identical for all teams, the final settlement or lack thereof will be a unique product for each group. Each team will develop a case of its own, unrelated to any other except by coincidence.

IEM Participants
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Final Comment

These negotiations are an integral part of the IEM experience. They are intended to be enjoyable, and ingenuity of participants can add to the enjoyment. At the same time, they are intended to be serious, and any forms of "gamesmanship" which detract from the reality of the experience are frowned upon.

Though settlement is usually desired, there are times when non-settlement or a strike is wiser than yeilding to the terms of an irresponsible settlement.

DK:pg

Attachments:

1. Information on the computer program
2. Team lists
3. Collective Bargaining Bibliography

APPENDIX IV

ADDITIONAL ACTIVITIES IN PROGRAM

APPENDIX IV: Additional Activities in Program.

During the six weeks of the program, the Institute for Educational Management organised a number of small group lunches and dinners at which discussion groups were able to meet with I.E.M. Faculty and also with other guest participants in the course. In addition, the more enterprising of the "Can Groups" (see Appendix I) organised further luncheons with notable persons. I was fortunate that my Can Group was very enterprising and during the six weeks we dined with the President of Harvard, Dr. Derek Bok (the only group to do so), the Vice President for Financial Affairs of Harvard, Mr. Champion and with Professor David Riesman, the eminent social scientist. In addition, we breakfasted with both of the guests attending the Yeshiva University case (see Appendix III).

The I.E.M. staff also organised tours of M.I.T. and Harvard and arranged a number of social trips - e.g. to Fenway Park to watch the Boston Redsox, to the Sound Shell to hear the Boston Pops Orchestra (one of many memorial concerts for Arthur Feidler) and to local historical places such as Concord, Plymouth and Salem.

APPENDIX V

PARTICIPANTS IN PROGRAM

APPENDIX IV - LIST OF PARTICIPANTS.

Name	Position	Institution (City) (State)
Dr. Mostafa M. AFR	Executive Vice President	Wayne County Community College, Detroit, Michigan.
Dr. Robert E. ALEXANDER	Associate Vice President	University of South Carolina, Columbia, Sth. Carolina.
Dr. Arthur S. APPLETON	Director	Capricornia Institute of Adv. Ed., Rockhampton, Q'land.
Ms. Alison W. BAKER	Associate Dean	University of Oregon, Eugene, Oregon.
Dr. Rufus L. BARFIELD	President	Bowie State College, Bowie, Maryland.
Dr. David G. BARRY	Provost	Antioch College, Yellow Springs, Ohio.
Mr. Richard W. BEESON	Vice President & Treasurer	Unity College, Unity, Maine.
Dr. William G. BERBERET	Dean, College of Liberal Arts	Willamette University, Salem, Oregon.
Dr. John H. BLAKE	Provost, Oakes College	University of California, Santa Cruz, California.
Mr. Robert F. BOLLINGER	VP in Charge of Fin. Affairs	Eastern Nazarene College, Quincy, Massachusetts.
Dr. Anneliese R. BOWLBY	Assoc. Dean, School Education	Central Michigan University, Mt. Pleasant, Michigan.
Mr. Harold E. BRAGG	Dean of Student Affairs	Bennett College, Greensboro, North Carolina.
Mr. Jonathan A. BROWN	Associate Director	Assoc. of Independent California Colleges, Sacramento, Cal.
Mr. Robert S. CAPIN	President	Wilkes College, Wilkes-Barre, Pennsylvania.
Dr. James R. CHASTEEN	President	John C. Calhoun State Community College, Decatur, Alabama.
Dr. Neil E. CHRISTENSON	President	Anoka-Ramsey Community College, Coon Rapids, Minnesota.
Mr. Cary P. CLARK	College Counsel	Dartmouth College, Hanover, New Hampshire.
Dr. Peter CLIFFORD	President	Saint Mary's College, Winona, Minnesota.
Dr. Billy R. COX	Vice President	Harding College, Searcy, Arkansas.
Dr. Wade C. CURRY	Dean of Arts & Sciences	Trenton State College, Trenton, New Jersey.
Dr. John T. DAHLQUIST	Dean of the College	Arkansas College, Batesville, Arkansas.
Dr. John F. DALPHIN	Dean School of Eng,Tech & Nursing	Indiana University, Fort Wayne, Indiana.
Dr. Roger H. DAVIDHEISER	Dean of Students	St. George's University, St. George's, Grenada.
Dr. Russell J. DEREMER	Dean of Students, Prof. of Physics	Whitman College, Walla Walla, Washington.
Dr. Wayland K. DEWITT	Vice President & Dean of Inst'n.	Walla Walla Community College, Walla Walla, Washington.
Dr. Michael W. EASTON	Vice President Stud. Services	University of South Dakota, Vermillion, South Dakota.
Dr. Joan R. EGNER	Associate Dean	Cornell University, Ithaca, New York.
Dr. Sr. H.A. ELSBERND	Academic Dean	Viterbo College, La Crosse, Wisconsin.
Dr. Paul A. ELSNER	Chancellor	Maricopa County Community Coll. Dist., Phoenix, Arizona.
Mr. Gary A. EVANS	Vice President for Coll. Rels.	Lafayette College, Easton, Pennsylvania.
Dr. Duncan S. FERGUSON	Provost & V.P. for Acad. Affairs	Whitworth College, Spokane, Washington.

Name	Position	Institution (City) (State)
Dr. Billy J. FRANKLIN	Vice Pres. for Academic Affairs	Stephen F. Austin State Univ., Nacogdoches, Texas.
Dr. Everett L. FROST	Dean of Acad. Affairs & Grad.Stud.	Eastern New Mexico University, Portales, New Mexico.
Dr. Kalyan K. GHOSH	Exec. Vice President	Shaw College, Detroit, Michigan.
Dr. David F. GIBSON	Asst. Dean & Director of Eng'g.	Montana State University, Bozeman, Montana.
Dr. Paulette GLADIS	Graduate Dean	Mt. St. Mary's College, Los Angeles, California.
Dr. Leonard S. GOLDBERG	Dean of Educational Services	Dickinson College, Carlisle, Pennsylvania.
Mr. Donald H. HANGEN	President	Corning Community College, Corning, New York.
Dr. Nellie T. HARDY	Director of Plan, Mangt.& Evaltn.	University of Arkansas, Pine Bluff, Arkansas.
Dr. Raymond P. HEATH	Dean of Students	La Salle College, Philadelphia, Pennsylvania.
Dr. Kenneth M. HOLLENBAUGH	Dean of Graduate School	Boise State University, Boise, Idaho.
Dr. Sadeq A. ISMAIL	Chairman, Dept. Education	Kuwait University, Kuwait.
Dr. Charles O. JACKSON	Associate Dean	University of Tennessee, Knoxville, Tennessee.
Dr. Kenneth L. JANZEN	Dean of the University	Hamline University, Saint Paul, Minnesota.
Dr. Arthur E. JUSTICE	Dean, School of Education	University of South Carolina, Spartanburg, South Carolina.
Dr. Daniel N. KECK	Dean of the College	Carthage College, Kenosha, Wisconsin.
Dr. Jae- s. KIM	President	Sacred Heart College for Women, Kyonggi Do, Korea.
Ms. Beverly E. LEDBETTER	University Counsel	Brown University, Providence, Rhode Island.
Dr. Anthony J. LISSKA	Dean of the College	Denison University, Granville, Ohio.
Bro. Bernard LoCOCO	President	Christian Brothers College, Memphis, Tennessee.
Ms. Martha C. LYMAN	Director of Financial Aid	Harvard/Radcliffe Colleges, Cambridge, Massachusetts.
Mr. William H. MALLON	Assistant Vice President	University of Hartford, West Hartford, Connecticut.
Dr. Mark A. MATHEWS	President	California Lutheran College, Thousand Oaks, California.
Dr. Jack M. MAXWELL	President	Austin Presbyterian Theological Seminary, Austin, Texas.
Dr. Denton B. MAY	Academic Dean	King's College, Wilkes-Barre, Pennsylvania.
Dr. Claude A. MAYBERRY	Associate Provost for Acad.Plann.	Colgate University, Hamilton, New York.
Ms. Jeannie R. McCLOSKEY	Asst. Dean for Administration	New York University, New York, New York.
Ms. Anne J. McDONOUGH	Director, MBA Admissions	Harvard Business School, Boston, Massachusetts.
Dr. David D. McINTIRE	Vice Chanc. for Stud. Affairs	University of Arkansas, Monticello, Arkansas.
Dr. Norman G. McKENDRICK	Assoc. V.P. for Acad. Affairs	University of Detroit, Detroit, Michigan.
Dr. Kermit R. McMURRY	Executive Vice President	Grambling State University, Grambling, Los Angeles.
Dr. Heinz K. MEIER	Dean, Sch. Arts and Letters	Old Dominion University, Norfolk, Virginia.

Name	Position	Institution (City) (State)
Dr. Mary-Linda MERRIAM	Vice President for Administration	Emerson College, Boston, Massachusetts.
Dr. Elaine K. MILLER	Dean, The Alternate College	State University of New York, Brockport, New York.
Dr. Victor G. MONTANA	Dean	State University of New York, Rochester, New York.
Dr. Frank MOTLEY	Assistant Dean	Indiana University School of Law, Bloomington, Indiana.
Dr. Edward L. MURRAY	Vice Pres. for Academic Affairs	Duquesne University, Pittsburgh, Pennsylvania.
Dr. Frank W. MYERS	Dean	Ohio Univ. Coll. of Osteopathic Medicine, Athens, Ohio.
Dr. John T. NICHOL	Vice Pres. for Academic Affairs	Bentley College, Waltham, Massachusetts.
Dr. Francis J. NOWIK	Assistant Provost (Personnel)	Northern Illinois University, Dekalb, Illinois.
Dr. Sheila M. O'BRIEN	Vice President/Academic Dean	Clarke College, Dubuque, Indiana.
Dr. Alfred C. O'CONNELL	President	Harford Community College, Bel Air, Maryland.
Mr. Robert J. ODEGARD	Ass. V.P. for Alumni & Devel't.	University of Minnesota, Minneapolis, Minnesota.
Dr. Lowell W. PRICE	Associate Provost	Stanford University, Stanford, California.
Dr. Gary W. REIGHARD	Vice Pres. for Student Affairs	Millersville State College, Millersville, Pennsylvania.
Dr. Richard S. RUCH	Assistant Dean	Kansas State University, Manhattan, Kansas.
Dr. Walter J. SAPP	Dean of Student Affairs	Tuskagee Institute, Alabama.
Dr. James A. SCHOBEL	President	Mayville State College, Mayville, North Dakota.
Dr. Jacqueline L. SCHUCH	Director	The Pennsylvania State University, Dubois, Pennsylvania.
Mr. Paul E. SHUMAKER	Dean, Admin. & Fiscal Services	Cuyahoga Community College, Parma, Ohio.
Mr. Ovadia R. SIMHA	Director of Planning	Massachusetts Institute of Technology, Cambridge, Massachusetts.
Ms. Patricia C. SKARULIS	Director, Admin Syst. & D.Proc.	Princeton University, Princeton, New Jersey.
Mr. Thomas A. SMITH	Vice President	Trinity College, Hartford, Connecticut.
Dr. Howard A. STARR	V.P. for College Relations	Austin College, Sherman, Texas.
Dr. Clifford T. STEWART	Dean of Academic Affairs	Adelphi University, Garden City, New York.
Dr. Thelma P. THOMPSON	Dean for Academic Affairs	Bishop College, Dallas, Texas.
Dr. Omro M. TODD	V.P. for Academic Affairs	Thiel College, Greenville, Pennsylvania.
Dr. John B. TURNER	Associate Dean for Prog. Devel't.	Massachusetts Institute of Technology, Cambridge, Massachusetts.
Dr. Robert P. von der LIPPE	Acting Dean of the Faculty	Hampshire College, Amherst, Massachusetts.
Dr. John O. WARD	Interim Assoc. Dean	University of Missouri, Kansas City, Missouri.
Mr. Joseph S. WARNER	Director, Grant & Contract Admin.	Yale University, New Haven, Connecticut.

Name	Position	Institution (City) (State)
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Mr. James R. WETZEL	Controller/Treasurer	Franklin and Marshall College, Lancaster, Pennsylvania.
Dr. Edward L. WHALEN	Director of Budgeting	Indiana University, Bloomington, Indiana.
Mr. Marcus D. WILLIAMS	Assist. Vice Pres. for Fin. Servs.	Texas Tech. University, Lubbock, Texas.
Dr. Lisa N. WOODSIDE	Asst. Vice Pres. Student Affairs	Widener College, Chester, Pennsylvania.
Dr. Christine A. YOUNG	Dean of the College	William Smith College, Geneva, New York.