



OFFICE OF THE CHANCELLOR

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MEMORANDUM

TO: UPC and Board of Trustees
FROM: Al Guskin
RE: Background Material for the Chancellor's Report to the Board

The following is presented in our continuing need to understand the dynamics of our new organizational design and forms the background for my presentation at the Board meeting. I hope you will find it helpful.

The text that follows this introduction--beginning with "Role of the Chancellor"--is verbatim from the Ad Hoc Committee report; in a few places the order of presentation has been changed for clarity. As I've said on a number of occasions, I believe that this federation model is a good one for Antioch but it can be ambiguous and messy. To quote from a recent article by O'Toole and Bennis:

In essence, federalism allows nations and corporations to have their organizational cake and eat it, too. Given proper leadership, the new federalism ... illustrates that it is possible to pursue innovation, self-governance, and autonomy, while at the same time enjoying the advantages of effective coordination, economies-of-scale, and the protection of cherished freedoms that only pluralism can provide. Even granting that federalism is a difficult structural form to manage -- perhaps the most difficult -- it might still recommend itself on the grounds that, like democracy, it is simply better than the alternatives.

Following the presentation of the material from the Ad Hoc Committee report, I've made some general comments about the implications of some key phrases in the report. This is followed by an integration of the diagram the committee used to describe the relationship between the Board, Chancellor and campus CEOs with the duties outlined in the report. Finally, I've also enclosed some other quotes on federal models from O'Toole and Bennis. It should be noted that the Ad Hoc Committee report was accepted by the Board in June, 1993 as part of the leadership reorganization of the University

ROLE OF THE UNIVERSITY CHANCELLOR

The Chancellor would be the Chief Executive Officer of the University, delegated by the Board to implement all Board policies and plans. The Chancellor would be responsible for recommending to the Board new University-wide policies and plans. The Chancellor would be responsible for monitoring the implementation of all Board policies. The primary role of the Chancellor would be planning for the future of the University and monitoring the implementation of Board policies, especially in the financial area.

a. Responsible for recommending new University policies to Board

In carrying out these duties the Chancellor would develop University-wide policies by working closely with the campus chief executive officers, especially through the University Policy Council.

b. Responsible for recommending to the Board the annual budget for the entire University, including each campus and for maintaining the fiscal integrity of the University.

Each campus chief executive officer would be responsible for reaching agreement with the Chancellor regarding the campus' annual budget within the context of Board policy.

By placing this responsibility with the University Chancellor, and through him/her the Chief Financial Officer of the University, the Board would, in effect, require that the budget of each campus be reviewed at the UPC and then discussed and approved by the Chancellor, prior to submission to the Board. This gives the Board assurance that their policies are being carried out in the development and implementation of the annual budget. This process assumes that the budget for each campus would be formally recommended by the University Chancellor and that each chief executive officer would be expected to present to the Board the budget for his particular campus.

The Chancellor and Chief Fiscal Officer of the University would be responsible for maintaining the fiscal integrity of the University by monitoring and auditing the fiscal activity of each campus within the context of Board policies.

- c. Chair of the University Policy Council
- d. Responsible for developing and maintaining University-wide systems for integrating the University
- e. Represent the University on each campus at important celebrations, e.g., commencements and when appropriate with local advisory committees or boards of visitors.
- f. Represent the University to the higher education community, to foundations, and to appropriate consortia of which the University is a member.

This would mean representation to such organizations as NCA, American Council on Education, National Association of Independent Colleges and Universities.

- g. Responsible for developing and coordinating University-wide fund raising activities

This would probably be oriented to university-wide grants as well as providing support where helpful to the College President or Provosts in their campus specific fund raising activities.

ROLE OF THE PRESIDENT OF THE COLLEGE AND THE PROVOSTS

The President of the College and each Provost is the Chief Executive Officer of their respective campuses. Within the context of Board policy and the Board approved mission for each campus, the Board delegates to the President of the College and each Provost the responsibility for leading and managing their respective campuses and representing the campus to all external groups and constituencies directly related to the campus. This is a broad responsibility of a chief executive officer and it is generally understood in higher education. It includes responsibility for:

- a. overall academic and administrative leadership of the campus;
- b. promoting a campus climate and quality of life consistent with the mission and policies of each campus
- c. proposing and managing the annual budget within Board policies

- d. recommending new degree programs and significant changes in existing programs to the Board;
- e. making all personnel decisions on the campus and make recommendations to the Board for all personnel decisions requiring Board action; e.g. tenure and promotion decisions for faculty, hiring of new Deans;
- f. all campus fund raising activities;
- g. leading the governance apparatus on each campus.
- h. representing the campus to the University Policy Council and Board of Trustees
- i. representing the campus to all appropriate external groups and constituencies directly related to the campus, e.g., The College President would represent the College to the Great Lakes College Association and the Association of American Colleges, each Provost would represent their respective campus to regional higher education groups.

ROLE OF THE UNIVERSITY POLICY COUNCIL

The University Policy Council, composed of the Chancellor, Chief Fiscal Officer of the University, and the President of the College and the Provosts, would serve as the senior administrative policy council of the University. The UPC would be formally recognized by the Board as responsible for reviewing all major administrative issues and for recommending all University-wide policies to the Chancellor. The Chancellor would work with the campus chief executive officers in setting the agenda for these meetings. As Chair, the Chancellor would be responsible for coordinating the work of the UPC. University-wide policies developed by the UPC should be forwarded to the Board as a recommendation of the University Chancellor and the UPC. It is assumed that the UPC, prior to recommending any policy to the Board, would have consulted with the appropriate groups on each campus. Any university-wide administrative matter acted upon by the UPC that is not of a policy nature but which would require implementation on campuses should be presented to the Board for their information, e.g., university-wide computing systems. All agenda of the UPC should be shared with the Board or the Executive Committee of the Board on a timely basis.

This construction of the UPC assumes that the Board would formally recognize its responsibility in recommending University-wide policies to the Chancellor and from the

Chancellor to the Board. While the Board would have a much closer relationship with each campus and be more directly involved with the President of the College and each Provost, they would expect the University Chancellor, working with the College President and Provosts, to assure them of the implementation of their policies.

With these new relationships to the Board and between the Chancellor, College President and Provosts, the activities of the UPC would be the following:

- review proposed changes in mission statements and statements of priorities for each campus and for the University;
- review annual planning documents for each campus and develop and approve University-level plans;
- review and approve annual budget proposals for each campus and for the University;
- review preliminary concept papers and full proposals for new degree programs throughout the University;
- review proposals for significant program changes or additions,
- review proposals for major organizational changes at the campus and University levels;
- develop, review and approve University-wide policies and implementation plans; and
- develop and review long-range plans for the University.

On a more informal level, the Council would function as a forum for information exchange, for mutual consultation and support and, most importantly, for nurturing a shared vision for the University.

Relationship between College President/Provost and Board of Trustees

The President of the College and each Provost would report to the Board through the University Chancellor. This means the Board would delegate directly to the campus chief executive officer responsibility for leading and managing the campus but does so within the context of Board policy which would contain the role specified for the University Chancellor. The Board would instruct the Chancellor that it is his/her responsibility to develop a collaborative relationship between the Chancellor and College President/Provosts which simultaneously respects the responsibility of the College President and

Provosts for leading their respective campuses and the Chancellor for assuring the implementation of Board policies.

In this arrangement, Board members would be participants on each of the search committees for choosing the College President and Provosts and the final Board decision would be based on the recommendation of a search committee. The Board, therefore, would have a real investment in each of the campus CEOs and, in turn, the College President and Provosts would have expectations about a significant relationship to the Board based on the search process and the nature of the final decision. This would be interpreted to mean that the College President and Provosts would be able to enter into discussions with the Board about their campuses, especially in areas that would have been directly delegated to them by the Board. This relationship between the Chancellor and each campus chief executive officer is inherently more collaborative and, therefore, more ambiguous.

Some comments and implications of the Ad Hoc Committee report:

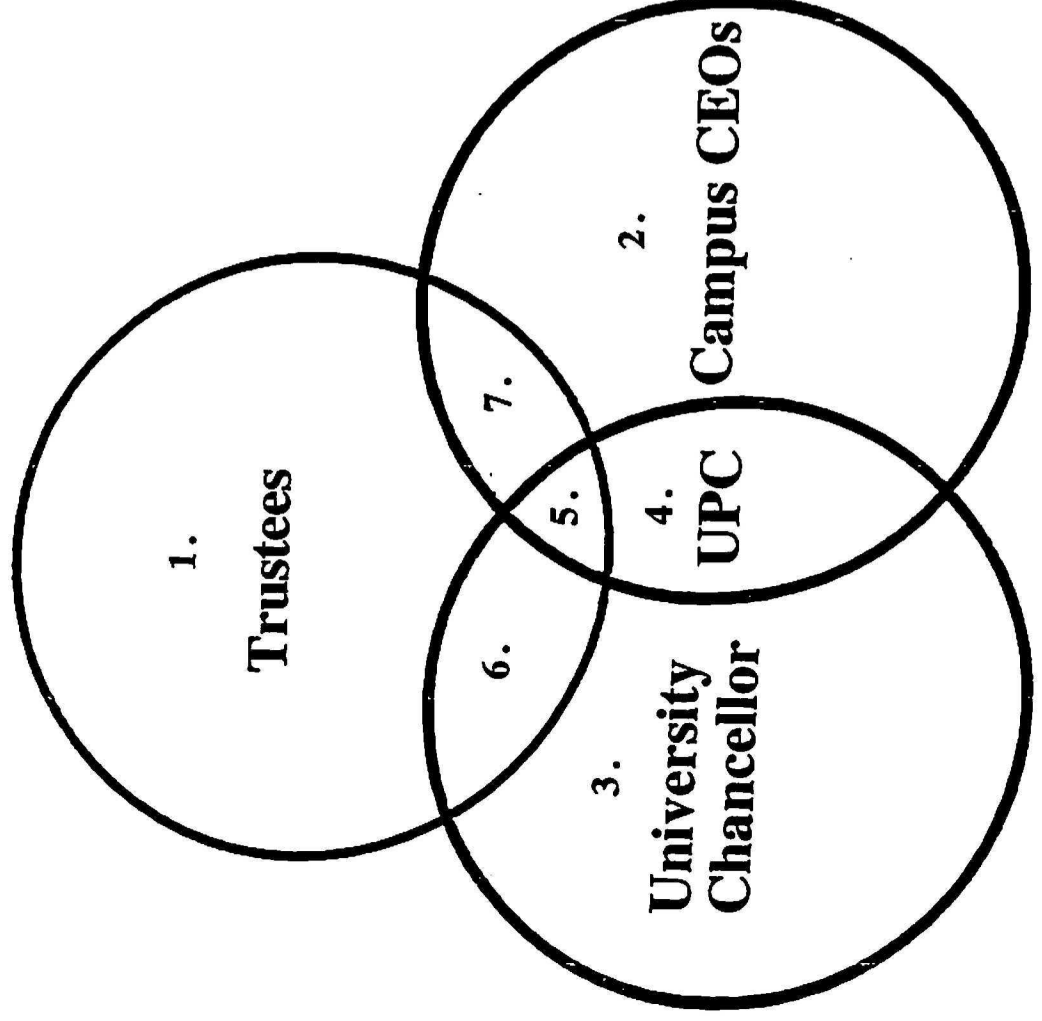
The strong expectation of the Board is that the Chancellor and campus CEOs will work together in a collaborative fashion. As stated in the Ad Hoc report:

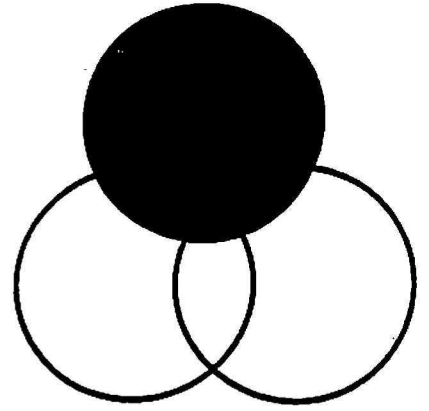
The Board would instruct the Chancellor that it is his/her responsibility to develop a collaborative relationship between the Chancellor and College President/Provosts which simultaneously respects the responsibility of the College President and Provosts for leading their respective campuses and the Chancellor for assuring the implementation of Board policies.

The implication of this statement is that the Board does not want to (and by practice does not) deal with management issues, or conflict over management issues between the campus CEOs. It assumes that these will be resolved by the UPC, and if not there, by the Chancellor. This is the ultimate meaning of the words "The campus CEOs report to the Board through the Chancellor." The language of the Ad Hoc Committee report does not simply say that the campus CEOs and the Chancellor both report to the Board; it adds the words, "through the Chancellor," to deal with its concerns that, in this new organizational structure, the Board does not intend to deal with conflict between the CEOs on management matters, and that the Chancellor is the University CEO with responsibility for University-wide issues.

The Ad Hoc Committee also specifically presented a diagram to represent the different and overlapping responsibilities of the Board, Chancellor, and Campus CEOs. The following presentation integrates the narrative of the Ad Hoc Committee report with the diagram.

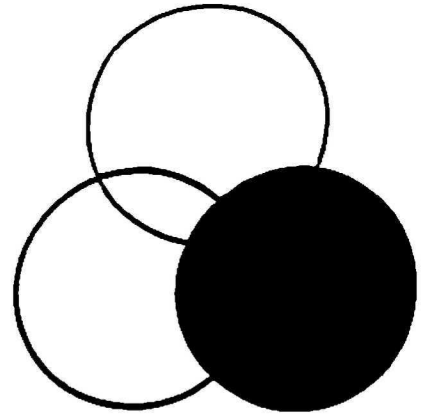
University Leadership Structure





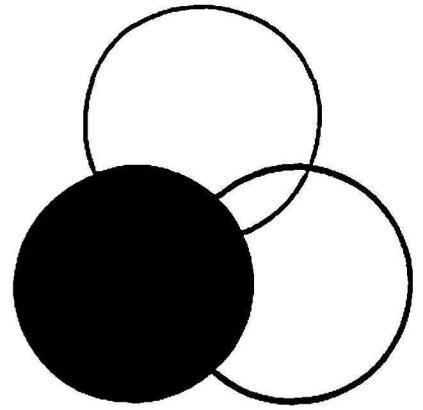
1. BOARD

- Responsible for final decision making on all University policies, annual budgets, major purchases, physical facilities, academic programs and major campus changes, etc.;
- for employment and review of University Chancellor and Campus CEOs;
- by practice Board is not involved in management issues at the University, intercampus, or campus levels. By recent practice Board hears reports from each campus to understand operations.



2. CAMPUS CEOs

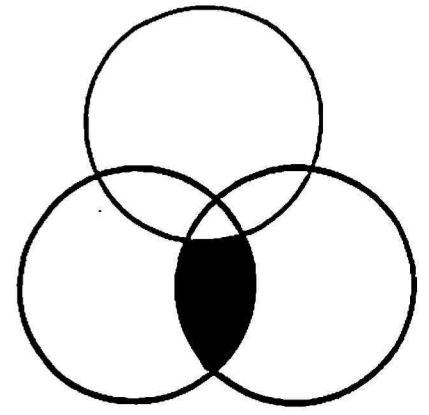
- Responsible for all day-to-day management and leadership for campus within context of University policies;
- represents campus to Board and UPC;
- recommending to Board new degree programs, major changes in existing programs and all personnel decisions requiring Board action;
- represents campus to appropriate external groups.



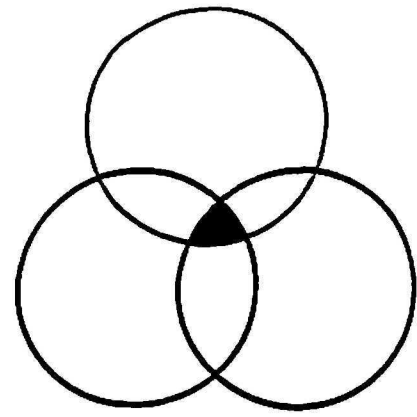
3. CHANCELLOR

- Responsible for assuring Board that all University policies are implemented and followed, for all University-wide management issues (e.g. legal, audit, fiscal monitoring of campus activities);
- for providing leadership on University-wide planning and strategic directions;
- for development of University-wide policies;
- for developing and maintaining University-wide systems for integrating University;
- for chairing University Policy Council and resolving all University inter-campus management issues that cannot be resolved by UPC;
- for providing support necessary to assure the effective and efficient operation of the Board of Trustees;
- for representing University to appropriate external groups;
- for University-wide communications and fund raising;
- for general consultation with campus CEOs and facilitation of communication between them.

4. UNIVERSITY POLICY COUNCIL

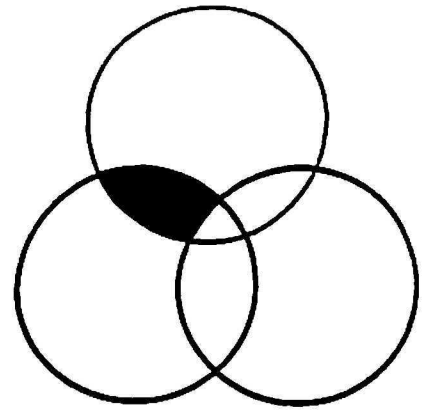


- Responsible for discussing, reviewing and resolving all University-wide and inter-campus management issues;
- reviewing and recommending to Chancellor and through Chancellor to Board all campuses and University annual budgets;
- for reviewing and recommending University-wide policies to the Chancellor and through the Chancellor to the Board;
- for reviewing ongoing budget experience of each campus and University;
- for reviewing new academic programs;
- for reviewing all significant changes to existing academic programs (e.g. certificates);
- for review and recommendation to Board of significant changes to campus governance structures or major structural changes within the University;
- for general consultation between all campus CEOs and between Chancellor and CEOs.



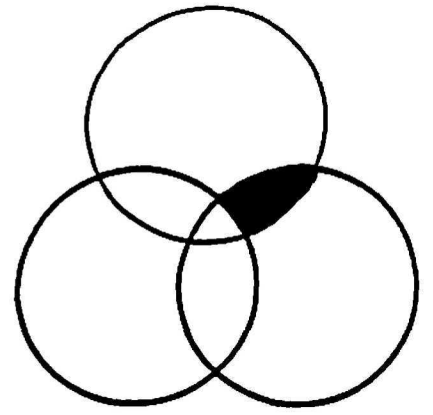
5. BOARD--CAMPUS CEOs--CHANCELLOR INTERACTION

- UPC recommendation to Board on annual budgets through Chancellor;
- UPC recommendation to Board on new University policies through Chancellor;
- joint development of University strategic directions;
- special financing arrangements;
- new physical facility development;
- campus and University-wide legal matters.



6. BOARD-- CHANCELLOR INTERACTION

- Report to Board on state of health of University;
- report to Board on campus adherence to Board policy;
- Chancellor leadership on strategic directions;
- Chancellor leadership on future issues facing University and higher education generally;
- support of Board and of Board meetings;
- facilitate Board evaluation of campus CEOs.



7. CAMPUS CEO--BOARD INTERACTION

- Information reports to Board;
- direct recommendations on specific matters under Board policy--e.g., new academic programs, tenure at College;
- fund raising activities by and with Board members;
- present campus budget after UPC and Chancellor review.