INSTITUTIONAL SELF-STUDY

IN PREPARATION FOR A VISIT BY A TEAM

REPRESENTING THE

HIGHER LEARNING COMMISSION
OF THE
NORTH CENTRAL ASSOCIATION
OF COLLEGES AND SCHOOLS

ANTIOCH UNIVERSITY
Antioch College
Antioch University Seattle
Antioch University Southern California
Antioch New England Graduate School
Antioch University McGregor

August 2002

PREFACE

Antioch University is not the same institution that prepared for a North Central Association accreditation visit more than a decade ago. At that time, Antioch had just passed through an extended period of fiscal crisis and organizational repositioning. Today, as we complete the internal examination of our progress and present this *Self-study*, our first realization is the extent to which this University has evolved, grown, and strengthened its capacities and processes. The crisis of the 1970s and 1980s is clearly behind us. The plans, decisions, and programs that subsequently emerged are now the new reality of our daily lives. At the outset, it is useful to review and reflect upon the accomplishments of the past ten years, accomplishments that have nurtured us through the period and which bring us today to this moment of introspection and analysis, taking stock of the past, but looking forward to a vigorous future.

In 1992, the new five-campus structure of Antioch University was scarcely five years old. Barely a year had passed since the Board of Trustees had approved a new governance structure for the reconstituted university. That new governance recognized the balanced campuses of the university under a single national Board of Trustees, and effectively provided an equal place in the University Leadership Council for each campus and a university-wide administration headed by a chancellor. Little was known about how effective this organization would or could be.

The University's academic programs were limited in number at each campus, with a focus on areas of Psychology and Education at the non-residential campuses, and on the liberal arts and sciences at Antioch College. The annual operating budget was $35 million. All of the operations were controlled and supervised from the University *Central Administration* in Yellow Springs, Ohio. There was little academic cooperation between and among the respective campuses of the University, and there were almost no administrative and financial systems in place to facilitate and connect the University as a whole.

Looking ahead from the last NCA visit, the task for the next ten years was to implement a far-reaching change in governance and administration, in academic programs and academic quality, transforming a bold plan for a university to a university in fact.

Today, in 2002, an astounding number of steps have been taken in moving toward that audacious goal. Much had been accomplished. Indeed, very large steps have been taken, firmly and successfully. Among the most important are:

Academic expansion and diversification of programs, including an MFA in Creative Writing, four new Teacher Education programs, two PhD offerings, greater depth in Environmental Studies and Communications, and a highly innovative program in Whole Systems Design.

A fully electronic library at Antioch New England and all campuses connected to Ohiolink through Antioch College.

Individual program accreditations and awards, significant numbers of graduates, and national recognitions. Increases in external funding, grants and contracts.

Regular increases in University revenue and an annual budget double that of 1993.

Growth in University assets, including new campus facilities owned in Keene, NH, and Seattle, WA; a tripling of the endowment; the total elimination of internal debt; a cash liquidity fund; and important investments in systems, faculty, and technology.

At the residential undergraduate campus of Antioch College, an Antioch education is unique. On the University's non-residential campuses for adult learners, Antioch has opened doors, created opportunities, and redirected lives. These "adult" campuses, in their short histories, have distinguished themselves in their communities as value-based, quality higher education providers. The campus and university *self-studies* that have been prepared for this review are comprehensive in scope. They are the products of self-examination in the areas of learning, teaching, acquisition and administration of resources, future planning, and quality enhancement and control. We focus on the 1993 – 2003 period with particular attention to planning, governance, academic program growth, and both the gains and dilemmas the university faces.

We begin this *Self-study*, then, with a sense of the distance we have come, the impressive achievements of a decade of astute planning, fiscal prudence, and plain hard work. Nonetheless, much remains to be done. To begin, we must here evaluate thoughtfully and candidly where we have come, how far we have

progressed, what has worked well and not so well, and what, of our ambitious goals, remains yet to be accomplished. All of this will occur within a highly dynamic environment, for we can be certain of only one condition: the constancy of new challenges evoked by changes in student expectations, the intellectual demands of the professions, and the uncertain world in which we task. This *Self-study* measures our progress in moving toward that goal.

James H. Craiglow
Chancellor
August 1, 2002

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Chapter 1

Antioch University

PROFILE

Founded: 1852

FY 2002-03 Budget: $65,039,883

Campuses: **Antioch College**

                    Antioch New England Graduate School

                    Antioch University McGregor

                    Antioch University Seattle

                    Antioch University Southern California

- **Los Angeles**
- **Santa Barbara**

Enrollment Fall 2000: 4128

               Fall 2001: 3959

Degrees Offered: B.A., B.S., M.A., M.S., M.Ed., M.A. Ed.,

                 M.F.A., M.H.S.A., Psy.D., & Ph.D.

Full-time Faculty: 182

Part-time Faculty: 392

FOUNDING HISTORY

Antioch has played an important role in higher education since its founding in 1852. Antioch's rich history represents a continuing commitment to the development of educational theories and practices that integrate academic study with experiential learning and community life and that serve diverse students. Several past presidents of Antioch College, particularly Horace Mann and Arthur Morgan, marked the institution with distinction.

The first president of Antioch was **Horace Mann** (1853-1859), architect of the American public school system. Mann believed that the education of young people was vital to the well being of a democratic society and designed the Antioch curriculum to develop individual potential in a non-competitive environment. He pioneered the introduction of coeducation, non-sectarianism, and non-segregation in order to educate "minds free from prejudice and yearning after truth."

A self-taught engineer and president of Antioch College from 1920 to 1936, **Arthur Morgan** represented a revolution in education, one that is still with us. His break with tradition, introducing the work-study program into a liberal arts college, made the Antioch of the 1920s different from all other colleges of the time. The educational philosophy behind this innovation, one that seeks to unite study and experience in a truly liberal education, still makes Antioch distinctive today.

Antioch has also had a long and cherished tradition of democratic participation. Since 1930, Antioch College students and faculty have jointly participated in key college decisions, creating a community governance structure that permeates the campus and has continued to instill in generations of students and faculty a deep sense of community. Antioch's commitment to social concerns can be traced back to Horace Mann, but its modern emphasis is directly related to Morgan's leadership, and that of his immediate successor, Algo Henderson.

By the 1950s, Antioch College was well established as a leading national liberal arts and sciences college with highly selective admissions and a distinguished roster of graduates. A more detailed accounting of the historical background of Antioch College, and of the non-residential campuses, may be found in the introduction to the Antioch College *Self-study* report, and each of the campus self-studies respectively.

1972-1984 Retrenchment and Survival

In 1972 Antioch College reached its maximum size and began a period of precipitous decline. The period between 1972 and 1984 was dramatic, volatile, and sobering. The baseline of that story can be seen in the enrollment figures for Antioch College, which in 1972 exceeded 2,000 students and then declined to under 500 by 1984! In 1994, looking back on a 70-year lifetime career as an Antioch faculty member and administrator, J. Dudley Dawson summed this up as follows:

> Antioch forged a special place in higher education in the 1920s, and was recognized in the following decades as an excellent liberal arts college with a unique work-study program. These were times when we were smug, and even pious, about our greatness, forgetting that we were subject to the same economic and demographic vagaries as the rest of higher education. We "lost it" in the early '70s – our clarity of purpose, our enrollment, some of our faculty, and our leadership.[1]

What caused this decline is still open to debate. Certainly, as Dawson points out, there were external factors at play with which the institution was not prepared to contend. We know that between 1955 and 1987, the national enrollment share captured by liberal arts colleges declined from 26% to 4.4%, and the proportion of private colleges dropped from 40% to 16%[2]. Many small liberal arts colleges during this time expanded and reclassified themselves as more comprehensive operations thus broadening their educational base. Antioch underwent its own transformation from a single-campus liberal arts institution to a multi-campus national university

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[1] .*An Antioch Career: The Memories of J. Dudley Dawson. (1995). D. Hotaling and D. Scott (Eds.). Antioch University: Yellow Springs, Ohio.*
[2] *Breneman, D.L. (1993). Liberal Arts Colleges: What Price Survival? In Higher Learning in America: 1980 – 2000. A. Levine (Ed.). Johns Hopkins University Press: Baltimore, Maryland, pp. 86-99.*

system, still small and independent, but more complex and comprehensive in scope. Nationally, the declining numbers of traditional-age college students were made up for in part by returning adult students, a market that Antioch recognized and began to cultivate in a variety of unique ways. It began spawning "centers" throughout the country beginning in the mid-1960s. These centers offered continuing and adult education, credit for employment and for work and life experience, and the opportunity to earn an Antioch degree. These centers enrolled largely historically underserved populations. By 1975 there were approximately thirty-four such centers. Some functioned well, others barely at all and with little oversight, a fact that jeopardized accreditation and threatened institutional solvency.

Other efforts to diversify and create a more inclusive learning environment were underway on the Antioch College campus. In 1964, a 5-year grant from the Rockefeller Foundation supported an expanded program of interracial education that recruited black students from Chicago's and St. Louis' inner city districts. In 1970, the *New Directions* program further diversified the campus. These programs provided opportunities for many students who were academically successful. They also opened Antioch's doors to many students who were academically under-prepared on a campus without the resources to support their efforts. This circumstance surfaced social and racial issues and concerns at a level not previously seen. Strikes in 1972 and 1973, including demands for financial aid guarantees and to double the number of minority students, very nearly closed the institution.

Clearly another external factor was that these were the Viet Nam war years, explosive years for many college campuses nationally. National social unrest, combined with Antioch's brand of pedagogy that encourages involvement, independence, challenge to authority, and change, made for a volatile mix. In the early and mid-1970s, the College campus was the site of on-going sit-ins, strikes, and turmoil. Writing near the end of this period in their 1978 book *"The Perpetual Dream: Reform and Experiment in the American College,"* sociologists Gerald Grant and David Reisman outlined the evolution of Antioch from Arthur Morgan's introduction of the alternating work-study pattern, through the radicalism that defined the College campus in the 1960s and 70s, and then the expansion of the Antioch network of field centers. Having prepared

a chapter on Antioch for inclusion in the volume, Grant and Reisman abandoned it, noting "Antioch's complex metamorphoses have outrun our own ability to keep pace.[3]"

From the late 1970s through the mid-80s, it is probably not overstated to suggest that Antioch College, now within Antioch University, was sorely neglected by the senior administration. William Birenbaum, who occupied the presidency during this period, removed his offices from Yellow Springs, administered from New York, and turned his attention to bringing some order to the network of adult education centers which had now outstripped the institution's ability to monitor educational quality and maintain financial integrity. The period of network expansion ran from 1964 to 1976. Under Birenbaum's administration, 1976 to 1984, centers were monitored, many were closed, others consolidated, and fiscal controls implemented. The College suffered from neglect, poor administration, divisiveness, and feared closure as well. Matters of race, the war, campus politics, and institutional priorities had divided the campus. In keeping with the steady declines in student enrollment, the faculty size at the College had shrunk from about 150 to 60. Those who remained were divided philosophically between traditional academic rigor and progressive pedagogy. And they were demoralized.

1984 – 1997 Recapturing the Legacy

1984 marks the time when Antioch University appears to have turned a corner, taken decisive action and begun to stabilize. By 1984, Antioch University consisted of eight physical sites. Antioch College in Yellow Springs, OH; non-residential campuses serving adult students in California (Los Angeles, Santa Barbara and San Francisco); Seattle, WA; Keene, NH; Philadelphia, PA; and the Antioch Law School in Washington, D.C. In addition, University Administration in New York City.

In 1985, Alan Guskin succeeded William Birenbaum as president of Antioch University and moved the president's offices back to the campus in Yellow Springs. The two principal priorities of Guskin and the University Board of Trustees were to put Antioch College back on the path of reclaiming its earlier stature and to restore the financial health of the University. To

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[3] *G. Grant and D. Reisman, (1978). The Perpetual Dream: Reform and Experiment in the American College, pp. 30-31.*

attain these objectives, a series of major decisions were made that would shape the direction and focus of the University for the coming decades. Immediately the decision was made to close the Law School in Washington, D.C. This amounted to a forced choice. Antioch College and Antioch Law School at that time both required a large influx of investment to remain solvent. A re-investment in the Law School would have ruled out the possibility of rebuilding the College, understood by all to be the heart of the University. Attention was turned to the state of the remaining network. Campuses in Los Angeles and Santa Barbara were integrated administratively. Following the 1988 NCA visit, an unapproved deficit at the San Francisco campus resulted in a decision to close that campus The Philadelphia campus was closed soon after.

Antioch had turned the corner. Fiscal controls were tightened and in 1986 the University had its first clean financial audit in 14 years. Other changes in the late 1980s included the consolidation of the Antioch Weekend College and Individualized Master's Program to create the School of Adult and Experiential Learning (SAEL), the first incarnation of what is today Antioch University McGregor. By 1989, the structure of Antioch University had been solidified into its current five-campus system. At several critical Board meetings and retreats, in particular those held in October 1988 and October 1990, the Antioch Board of Trustees reconfirmed its commitment to the entire University, including the College and the five non-residential campuses.

Attention was then turned to administrative organization and practices. Discussions began on reorganizing and decentralizing the administration of the campus system in 1990, with a final Board decision to proceed in 1992. Among the changes called for were: the University president position was divided into positions of College President and University Chancellor; the campus provosts were to be elevated to positions of Campus Presidents with commensurate responsibilities for day-to-day campus operations, budget, enrollment, programs and planning; the central University administration was cut by 14 positions (45 percent in projected costs); the University Policy Council was reformulated as the University Leadership Council (ULC) and was composed of the chancellor, the vice-chancellor for finance and University CFO, and the five campus presidents. The academic deans and the campus chief fiscal officers were designated

as sub-committees of the ULC. Today, this group represents the principal leadership of the University and makes recommendations to the Board through the Chancellor in areas of budget, policy, programs, mission, and planning[4]. This governance arrangement was described in subsequent years as the Federal or Federated Structure. Implementation began to be phased in on July 1, 1994.

1998 to 2002 New Directions for the 21st Century

This most recent period has seen important reaffirmations of direction, reflection, questioning and resolve that sets the stage for this *Self-study*. In 1997/98, Alan Guskin stepped down as Chancellor to be replaced by James W. Hall, formerly president of Empire State College of the SUNY system. Today Antioch University is an independent five-campus system that operates in four states and four regional accrediting areas, with accreditation by the North Central Association Higher Learning since 1927[5].

Antioch College is one of the 228 colleges in the United States currently classified in the Carnegie classification system as a BA Liberal Arts institution, or a College that is primarily undergraduate and offers half or more of its degrees in the liberal arts. Antioch College is unique among these more than two hundred institutions in several ways but primarily in that since the 1920s it has required each of its students to obtain roughly half of their learning experience in work settings or "co-op."

Among the other four of Antioch's campuses, three are classified in the Carnegie system as *Masters II* institutions, and one as a *Doctoral Intensive*. Antioch is a single institution, yet holds three separate Carnegie classifications. These four campuses are non-residential, offering several BA completion programs for adult learners, but primarily graduate programs in areas of psychology, education, and management. They range in size from between 500 and 1,000 students.

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[4] *A full description of the activities and responsibilities of the ULC may be found in the University Leadership Council Policy Handbook in the University Resource Room.*
[5] When Antioch University notes accreditation since 1927, it is to Antioch College that it is referring. Antioch College reincorporated as Antioch University in 1978 and extended its umbrella to a network of caompus sites that stretched across the United States.

In 1991, the Antioch University Board of Trustees affirmed a vision for the University. A College strategic plan followed in 1996. Central to this plan was enrollment growth, investment in personnel and facilities, and fundraising. A new *University Plan* followed in 1999, and planning documents from each of the non-residential campuses were finalized in Spring 2000. These plans, congruent and complementary to one another, have formed the basis for planning and action across the University. The plans were and are ambitious. Many of the campus goals have been met and progress continues to be made in multiple areas. Other goals, particularly concerning the rate of enrollment growth, have yet to be realized. This fundamental fact caused a reassessment of priorities and planning and redirected efforts in the 2001/2002 academic year.

Our purposes in this *Self-study* are to demonstrate to the Commission that each of Antioch's five campuses is a well-integrated academic whole, operating within its region in concert with the University mission; that the University, as a single entity, has one vision and mission, is administered as a multifaceted comprehensive institution, and as a whole is more effective and powerful as an educational agent than any one of its parts might be alone.

The preponderance of evidence for the demonstration that each campus unit is an integrated academic whole may be found in the respective campus self-study documents. The weight of the evidence for the demonstration that the University operates as an integrated and effective whole may be found in this document and its supplemental appendices and resources.

Since the last NCA review in 1993, the University has undergone much change. New forms of governance and organization have been implemented, questioned, and re-evaluated. Administrative decentralization, completed in 1996, has proven effective and cost-efficient in many areas, not in others. The University Administration has undergone changes in size and composition. Revenues have steadily grown, yet expenditures in the form of investment in necessary infrastructure are more demanding than ever. Enrollments at individual campuses have risen and fallen but across the University remain nearly identical to 1993 figures. As these examples illustrate, Antioch continues to make gains. With each gain, new challenges appear. It is a dynamic institution that sets high goals, takes calculated risks to attain those goals, and learns from its shortcomings.

Casual observers and those whose primary reference points at any one moment in time often wonder how sustainability and survival is possible in an atmosphere of constant change, fiscal constraints, and perceived chaos, but Antioch University is a resilient and fluid institution that is brutally honest about acknowledging its issues and problems, and yet doggedly buoyed by a mission and purpose that have produced a remarkable story and compelling mural throughout the decade which has passed since the last NCA visitation. Highlights of that story, cited briefly in the Preface, are briefly summarized again below:

- **The University has grown from a budget of $35 million in FY 1993-1994, to a budget of $65 million in FY 2002-2003.**
- **The University's assets have grown to include**
  - ✓ **New campuses owned in Keene, New Hampshire, and Seattle, Washington (combined value: $13.8 million);**
  - ✓ **An endowment that has more than tripled from $9 million in 1993 to $31 million in 2002;**
  - ✓ **The elimination of an internal debt of $3.3 million dating to 1979 and paid off in 1999;**
  - ✓ **A cash liquidity reserve that has accumulated $2.2 million by 2000-01.**
- **New academic programs have been added since 1993, including the MFA in Creative Writing in Los Angeles, Teacher Education programs in Los Angeles, Santa Barbara, Seattle, and McGregor, and two new Ph.D. programs (Environmental Studies in Keene, and Leadership and Change university-wide);**
- **Significant increases in external funding, grants and contracts, particularly in Seattle and Keene;**
- **Enhanced visibility of each campus in its state and region;**
- **A much strengthened technological infrastructure which includes Datatel (an integrated system for accounting, budgeting, human resources, admissions, financial aid, registrar and student accounts); and FirstClass software communications system on all but one campus, a fully electronic library at**

Antioch New England Graduate School, and all other campuses linked to Ohiolink at Olive Kettering Library at Antioch College.

The next chapters of this document and the self-study documents from each of the campuses elaborate further on these accomplishments.

THE SELF-STUDY PROCESS

The initial plan for self-study was formulated in late summer 2000 and submitted to NCA for review September 12. At that time, Paul Ewald, Associate to the Chancellor, was designated coordinator for self-study, and a university-wide Steering Group was assigned. The group included Ewald, James Craiglow, then president of Antioch New England Graduate School, Laurien Alexandre, Dean of University-wide Programs and Director of the Ph.D. program in Leadership and Change, and representing faculty, Steve Schwerner, Professor, Antioch College.

The self-study plan proposed a timeline of tasks and activities beginning in summer 2000 and continuing through the re-accreditation visit[6]. The plan also identified the principal goals and structure of the study, and identified coordinators at each of the campuses. In addition to responding to the General Institutional Requirements and accreditation criteria, several specific Antioch goals were identified in the plan. These included

- an examination of strategic planning practices and accomplishments across the university,
- an evaluation of the administrative reorganization carried out in the mid-1990s,
- doctoral-level program development,
- evaluation of efficacy operating as a single university in multiple regions, and
- progress in student outcomes assessment at all campuses.

While the University's self-study plan identified a common general structure and set of goals, each campus also carried out its own self-study activities in accordance with local committee structures and task forces, or as needed, developed new ones. Antioch University campuses have had representation at the annual NCA meeting for the past three years, including participation in the pre-conference workshops for coordinators. Antioch's NCA staff liaison, Karen Kietzman, reviewed the self-study plan in fall 2000 and provided feedback and suggestions. At Antioch's invitation, Dr. Kietzman visited the Yellow Springs campuses in June 2001 to provide some valuable consultation on the self-study process. Dr. Kietzman met with the chancellor and the

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[6] *The self-study plan with timeline is in the University Resource Room.*

coordinators of the self-studies for the University, Antioch College, and Antioch University McGregor.

All of Antioch's non-residential campuses submitted full drafts of their self-studies to the University's Steering Group in September and again in December of 2001. Antioch College submitted a full draft in December 2001. The Steering Group provided critiques of first and second drafts and penultimate drafts were submitted in May 2002.

In February 2002, the self-study plan was updated and re-submitted to NCA[7]. Dr. Kietzman again commented on the self-study plan and participated in a meeting with Antioch self-study coordinators and others at the conclusion of the March 2002 NCA annual meeting. The purpose of the meeting was to discuss progress on the self-studies, review recent policy changes and discuss expectations for the team selection and logistics for the visit. Thirteen consultant-evaluators for Antioch were identified in February 2002, and had been extended invitations by the time of the March meeting[8].

During May and early June 2002, the University Board of Trustees' Academic Affairs Committee, the presidents, and the academic deans reviewed drafts and provided comment and feedback for final revision. Near-final and final drafts of self-study documents were made available for review to Antioch's many constituencies including students and employees. All feedback and comment was reviewed and changes incorporated where appropriate. In June, drafts were shared with Dr. Kietzman before going to production.

Six Antioch *self-studies* were produced as a result of this process. In addition to this University self-study document, each Antioch campus (the College, McGregor, Seattle, Southern California, and New England) produced a report specific to that campus. Each of these reports addresses the five criteria for accreditation. Each campus collected Basic Institutional Data (BID) information for that campus.

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[7] *The Plan is available in the University Resource Room. Italicized entries reflect all additions of 2/02.*
[8] *Notes from this meeting may be reviewed in the University Resource Room.*

The *University Self-study* addresses each of the five criteria for accreditation, though with different emphases than the campuses. University strategic goals are addressed under the NCA criteria to which they relate. The *University Self-study* includes a separate appendix of the BID data. General Institutional Requirements and Federal Compliance information is presented only in the *University Self-study*. Antioch's recently developed Ph.D. in Leadership and Change represents the only university program that operates across all five campuses, meaning it is a university-wide and not a campus-based program: it is the only academic program to be discussed at length in the *University Self-study*[9].

This comprehensive review is intended to consider both the academic integrity of each campus as a functioning unit and the University as a single institution. The self-study process and presentation of information and evidence is intended to mirror this approach.

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[9] *This Ph.D. program is presented as Chapter 7 in this Self-study.*

RESPONSES TO CONCERNS

FROM THE 1993 COMPREHENSIVE REPORT

The 1993 review team found strengths throughout the University. Those that were highlighted included strong leadership at the Board level and in the senior administration; a clear mission, well understood by all campuses and constituencies, and being effectively implemented; enthusiastic, committed and responsive staff, faculty, and administrators on all campuses; clear evidence that the University had effectively stabilized its finances and was proceeding cautiously and pursuing new priorities; evidence that the planned decentralization was well thought through and would distribute responsibility and authority appropriately.

The report from the review team identified five concerns. Each is briefly addressed here with full coverage and explication appearing throughout this document.

1. *In the early 1990s, as part of the administrative decentralization and restructuring, the Antioch University Board of Trustees separated the positions of Chancellor and President of the College, and planned the continued development of the other campus chief administrators. The team raised concerns over anxieties, morale, and communication as these changes unfolded and recommended careful monitoring[10].*

The administrative structure and organizational reporting lines for Antioch University have undergone steady monitoring throughout the interval since the last review. The decision has been reaffirmed to maintain separate executive officers of the College and University, and the campus provosts were reassigned as presidents in 1998 in fulfillment of a plan following careful study and widespread input from all campuses. There has been higher-than-average turnover in the senior executive positions, but evaluation and self-study suggests that this was not principally a direct result of position definitions and responsibilities. Measures have been put in place to insure adequate flow of information[11] and additional measures are being taken to improve

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[10] *See reviewer's comments, pages 50-51 in Report of a Visit to Antioch University, in the University Resource Room.*
[11] *Datatel, a university-wide integrated system for accounting, budgeting, human resources, admissions, financial aid, registrar, and student accounts, fulfills this function.*

communications (e.g., the university is moving to video conferencing, additional governance linkages are under discussion)[12].

2. *University finances were a concern[13].*

The Antioch University budget has grown substantially over the past 10 years. Endowment has tripled. The University balanced its budget every year through 2000. In FY 2001, despite growth in revenue, a deficit was realized. The deficit was attributable to endowment losses from the stock market and unrealized enrollment projections. The University began a financial stabilization planning process in summer 2001 and revised its enrollment planning assumptions in 2002[14]. The Trustees and Administration have put in place the necessary controls and longer range fiscal plans to bring the budget into balance over the next two years.

3. ***Assessment plans were found to be uneven in regard to specificity and completeness. Assessment planning did not yet meet the five NCA criteria (in effect at that time). Antioch was asked to submit assessment plans for each of its campuses[15].***

All Antioch campuses engaged in planning activities and obtained consultation in the years 1993-1995. Assessment plans were submitted to NCA in January of 1995. Some campuses proceeded to begin implementation of their plans, sometimes with false starts and revision of original plans. Other campuses lapsed in activity for 2 or 3 years. Beginning in 1998/99, all campuses revived their efforts, reviewed and re-evaluated their planning documents, and began or continued implementation. Considerable progress has been made between 1999 and 2002. A university-wide review of activity and evaluation of progress identified both strengths and weaknesses in the approaches. Each campus *self-study* reviewed progress for that campus in some detail with much supporting documentation in campus resource rooms[16].

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[12] *The administrative restructuring is discussed more fully under Human Resources in Chapters 4 and 5.*
[13] *Report of a Visit, p. 51.*
[14] *University finances are discussed in detail in Chapter 5.*
[15] *Report of a Visit, p. 51.*
[16] *This self-study presents a university-wide overview in Chapter 6.*

4. ***The team recognized the critical importance of College enrollments and stressed the need for a comprehensive enrollment management plan.***

College enrollments have remained essentially flat since 1993. A comprehensive plan was undertaken as part of the College strategic plan developed in 1997[17]. The plan called for the attainment of an enrollment of 800 by the year 2000 at Antioch College. Small incremental gain and occasional losses resulted in virtually no net gain. Throughout this time, however, substantial improvement in retention was realized. In Winter 2001, an admissions planning committee began work on a revised plan. This committee will continue as a working group for the foreseeable future. The initial findings of this committee suggested considerable under-investment in recruitment and marketing relative to competing peer institutions, and a lower level of financial assistance relative to competitors. New pricing strategies were introduced and substantial increases in both need-based and merit aid were adopted[18].

5. ***The final concern addressed decentralization of administrative functions. The concern was how administrative functions such as registrar, assessment of foreign transcripts, national reports, and appeals would be handled across the university[19].***

There is no single answer to this concern as it is directed to the overall success and effectiveness of the decentralization plan. For the examples given above, each campus has its own full-time registrar and fully staffed registrar's office. Transcripts from Antioch's closed campuses from the past, and related appeals or grievances, are handled by the College Registrar. Registrarial activity for the new Ph.D. program is handled by the program administrator with oversight from the Seattle Registrar's Office. Completion of national data reports, requests, and surveys are coordinated through the Chancellor's Office. Each of these administrative functions are monitored by the University Leadership Council. Training needs are identified periodically. Recently, some consolidation of administrative functions took place at the Yellow Springs campuses[20].

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[17] *Available in the University Resource Room.*
[18] *Details of enrollment planning and newly adopted strategies, including projections, are presented in the Antioch College self-study and the College Resource Room.*
[19] *Report of a Visit, pp. 51-52.*
[20] *These items are addressed further in Chapter 5, Part 1.*

MAJOR CHANGES SINCE 1993

Senior Administrative Personnel[21]

At the time of the re-accreditation visit in 1993, **Alan Guskin** was president of both Antioch College and Antioch University. In July 1994, this position changed to Chancellor of Antioch University. Effective January 1, 1998, **James W. Hall**, former president of Empire State College of the State University of New York, became the second Chancellor of Antioch University. Chancellor Hall announced his retirement effective December 2002. In February 2002, **James H. Craiglow** assumed the position of Chancellor of the University. The national search for a new chancellor will be conducted during the 2002/03 academic year. In 1996, **Glenn Watts** became the University Vice-Chancellor and Chief Financial Officer. In this same year, **Lois Mann** was appointed Vice Chancellor for Development, a newly created position. **Laurien Alexandre**, Regional Dean of Academic Affairs for Southern California, left that position in 1999 for a university reassignment as Dean of University-wide Programs and Director of the Ph.D. in Leadership and Change.

In August 1994, **James Crowfoot** became President of Antioch College and was succeeded in August 1996 by **Robert Devine**. Devine stepped down from the presidency for health reasons in Fall 2001. **Joan Straumanis**, formerly with the Fund for the Improvement of Postsecondary Education, became the president of Antioch College in February 2002.

In 1994, **Robert Miller**, Provost of The McGregor School at the time of the last re-accreditation visit was replaced **by Sandra Cheldelin**, who served in that post until 1996 when **Steve Brzezinski** became Acting Provost. In May 1999, **Barbara Gellman-Danley**, formerly Vice-Chancellor for Technology at Monroe Community College, became president of Antioch University McGregor.

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[21] *Vitas for all currently employed senior administrative personnel are available in the University Resource Room.*

Dale Johnston served as provost and then president of Antioch Southern California from 1989 until 1998. **Mark Schulman** served as president from Fall 1998 to Spring 2002**. Chloe Reid**, Executive Dean for AUSC, stepped in as Acting President on April 1, 2002.

At the time of the 1993 review, **Gary Zimmerman** held the position of Provost at Antioch University Seattle. With Zimmerman's resignation in 1995, **Gail Martin** became Acting Provost. In 1997, **Toni Murdock** became provost and president in 1998.

Chancellor **James Craiglow**, who was provost at the time of the last review and assumed the presidency as that title changed in 1998, retired from the presidency of the New England campus on June 30, 2002, after sixteen years. **Peter Temes** was named as the second President of Antioch New England, effective Fall 2002.

Faculty

The reviewers in 1993 noted that Antioch's faculty were "enthusiastic, committed and responsive." That has not changed. Antioch faculty remain the backbone of our multi-campus institution. Much more detail on faculty will be found in the campus self-studies, and in a more aggregate fashion, in this University *Self-study* in the section on resources, and in the final section on achievement of University goals. At this point in the *Self-study*, however, we identify significant changes since the last review.

The size of Antioch's Core Faculty has increased approximately 4% since 1993, from 175 to 182, although the number was as large as 203 until the recent budget reductions. Associate faculty, who are hired quarterly and work less than half-time, constitute a relatively small percentage and the change in this category has been negligible. The overall use of adjunct faculty between 1993 and 2002 has increased somewhat to 270. The size of the adjunct pool varies from campus to campus. These are detailed in the individual campus self-studies[22].

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[22] *See full descriptions in the Antioch University Human Resources Policies and Procedures, pages 9-10, in the University Resource Room.*

Another change since 1993 has been the establishment of a rank policy and sabbatical leaves for the non-residential Antioch campuses. While only Antioch College has a rank and tenure system, it was believed that providing a manner for faculty at the other campuses to achieve rank was an important aspect of faculty development and professionalization. The Trustee policy provides for campuses to decide whether they wish to offer a rank process and at the writing of this Self-study, several campuses, including Antioch Los Angeles and Antioch New England have established rank as an option for their faculty. The Ph.D. In Leadership and Change does award rank, and all of the program's founding Core Faculty are senior scholars at the rank of full professor[23].

During this 10-year period, a number of the non-residential campuses also established faculty sabbaticals. This was an extremely significant development that represents the institution's support for its faculty and a commitment to faculty scholarship and service. For example, starting in the mid-90s, Core Faculty at Antioch Los Angeles and Santa Barbara could request one-quarter sabbatical leave on a rotating three-year cycle. Faculty in the new Ph.D. in Leadership and Change can request a half-year sabbatical every five years.

Another change occurring during this period has been a number of efforts at faculty collaboration across campuses. For example, a university-wide faculty conference has been held at least every other year since 1993. A group of faculty representing the five campuses works on conference planning and implementation. Ten to fifteen faculty from each campus typically attend the 3-day meeting, which is hosted on a rotating basis among the various campuses[24]. Another example, supported by university funds, was a cross-campus collaboration in which approximately 25 faculty from 4 campuses participated in a 6-week on-line training on pedagogy in 1999-2001. Other examples of faculty collaboration, such as the Innovation Team, are detailed in other sections of this self-study.

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[23] *Vitas for faculty teaching in this Ph.D. program are available in the University Resource Room. Vitas for all other Antioch faculty are available at their respective campuses.*
[24] *A packet of materials from the most recent University-wide faculty conference, held at Antioch College in November of 2000, is available in the University Resource Room.*

Programs

Approximately seventy percent of Antioch students study at the graduate level. Among the thirty percent studying for the bachelor's degree, most are traditional age students enrolled at Antioch College in Yellow Springs, with the balance comprised of returning adults completing a bachelor's degree at campuses in Yellow Springs, Los Angeles, Santa Barbara, or Seattle. At Antioch College, students are enrolled year-round and must complete five cooperative educational experiences (five full semesters with an employer usually outside of Yellow Springs) in fulfillment of their degree requirements. While it is possible to complete the degree requirements in four years, most students take four and a half to five years to complete. The College offers the B.A. and B.S. degrees with majors available in eight interdisciplinary areas. In the adult B.A. degree completion programs, concentrations and majors vary depending on which campus one is enrolled[25].

At the master's level, degrees are offered on all non-residential campuses in the areas of psychology, management, and education. A variety of more specific degree designations exist within these areas (e.g., clinical, organizational and general psychology; family or dance therapy; education certification, licensure, and experienced educator's programs; organizational management, systems design, and M.A. and M.S. offerings in management, etc.[26]). Beyond psychology, education, and management, other disciplinary master's level programs are offered in environmental studies (Antioch New England), environment and community (Antioch Seattle), and creative writing (Antioch Southern California).

Antioch currently offers three doctoral degrees. Antioch New England Graduate School began its Psy.D. program in 1982. A Ph.D. in Environmental Studies followed in 1996, also at Antioch New England. In January of 2002, the first university-wide degree offering was implemented, a Ph.D. in Leadership and Change. Though administered from Yellow Springs,

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[25] *See campus self-studies for additional detail.*
[26] *For a comprehensive listing of all degree offerings by campus, see Antioch University Degree Offerings in the Appendix.*

this program holds quarterly residencies at Antioch campuses and makes use of resources and personnel on all campuses[27].

Since 1993, a number of the degree offerings outlined above are new. Antioch Los Angeles began its Master of Arts in Creative Writing in 1997, and both Southern California campuses added Master of Arts in Education programs in 1998. Antioch University McGregor reorganized its Individualized Master of Arts IMA such that one of its tracks, Conflict Resolution, was broken out as a freestanding new degree offering, and another, Intercultural Relations, was discontinued. McGregor's Teacher Certification program began in 1996. Antioch University Seattle has introduced a Teacher Certification program, a Bachelor's in Liberal Arts with Teacher Certification, and an Art Therapy program. And, as indicated, both of Antioch's Ph.D. degrees are new since the last review.

Within these degree offerings, Antioch continues to introduce clearly defined tracks of study, concentrations, and certificate programs to focus on specific skill areas that are responsive to our students and changing markets. In addition, new program development activity has received additional support in recent years through a University Innovation Fund. This fund, which was fifty thousand dollars its first year and one hundred thousand the second, provided supplemental support to faculty on all campuses through a competitive granting process. All programs throughout the University have undergone at least one program review since the last NCA review. Campus self-studies comment on the findings and impact of these reviews.

Facilities

Several major renovations and purchases have taken place since 1993. At Antioch College, two separate one million dollar gifts from Hadley Case provided for the renovations of South Hall (1993/94) and Birch Hall (1997). South Hall houses faculty offices and classrooms, a gallery, the co-op department, and community space. Birch Hall is the largest of the dormitories for the College.

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[27] *The Ph.D. in Leadership and Change is presented fully in Chapter 7.*

Two campuses have purchased their own facilities since the last re-accreditation. The Board approved the purchase of the New England campus building in 1992, and it opened in 1994. The purchase of the Seattle campus was approved in 1995, with occupancy by the campus community in 1997. At this writing, only Southern California leases its facilities. All other campus facilities are University owned[28].

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[28] *Additional detail can be found in Chapter 5, Physical Resources, and in campus self-studies.*

Chapter 2

General Institutional Requirements

MISSION

1. Antioch University has a mission statement stating that it is an institution of higher education[29].

2. Antioch University grants degrees at the level of bachelors, masters, and doctoral.

AUTHORIZATION

3. Antioch University has all appropriate legal authorizations to offer its degrees and meets all of the legal requirements in each of the states in which it conducts business.

4. Legal documents confirming institutional status as a private not-for-profit institution of higher education are available for review[30].

GOVERNANCE

5. Antioch University has a governing Board of Trustees that possesses and exercises necessary legal power to establish and review basic policies that govern the institution. The current Board membership appears on the university web-site[31].

6. All members of the all-volunteer Board are private citizens sufficiently autonomous from the institution to assure integrity in governance. Each reviews and signs a conflict of interest document[32].

7. The institution has an executive officer designated by the Board to provide administrative leadership for the institution. James Craiglow is currently serving as Chancellor of Antioch University[33].

8. Antioch University's affiliation with the Commission is authorized by its Board.

FACULTY

9. Antioch University and its campuses employs faculty that hold degrees from accredited institutions appropriate to the level of instruction provided[34].

10. A sufficient number of faculty are fulltime employees of the institution[35].

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[29] *See Antioch University Mission Statement in Chapter 3.*
[30] *University Resource Room.*
[31] *Board membership including resumes and biographical information may also be found in the University Resource Room.*
[32] *These documents may be reviewed in the University Resource Room under "Governance."*
[33] *The Chancellor's curriculum vita is in the University Resource Room.*
[34] *Faculty vitas are available for review in the campus Resource Rooms.*
[35] *See Antioch University Profile at the start of this document and campus self-studies.*

11. Faculty play a significant role in developing and authorizing all of the institutions educational programs[36].

EDUCATIONAL PROGRAM

12. Antioch University confers degrees.

13. Antioch University has degree programs in operation with students enrolled in them.

14. Antioch's degree offerings are consistent with its mission and are in recognized fields of study.

15. Antioch degrees are appropriately named and follow practices common to institutions of higher education in designating program length and content.

16. Antioch University undergraduate degree programs include coherent general education requirements consistent with the institution's mission and are designed to ensure breadth of knowledge and promote intellectual inquiry[37].

17. Antioch University and each of its campuses has admissions policies that are consistent with its mission and appropriate to its educational programs[38].

18. Each campus provides student support services for its degree programs[39].

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[36] *The following documentation is available for review: the Academic Program Review Policy in the ULC Policy Manual (University Resource Room); faculty handbooks for each campus at campus sites; faculty developed assessment plans described in each of the campus self-studies and available for review in the campus resource rooms.*
[37] *See campus self-study descriptions and catalogues.*
[38] *All policies are published in campus brochures and informational bulletins and are available for review in university and campus Resource Rooms.*
[39] *See campus self-studies.*

FINANCES

19. Financial audits are conducted annually by Ernst & Young Associates[40].

20. Antioch financial documents demonstrate that allocation and use of resources are appropriate to support its educational programs[41]. See University Budgets, in the University Resource Room under "Financial."

21. Antioch University financial practices, records, and reports demonstrate fiscal viability.

PUBLIC INFORMATION

22. Antioch University campus catalogues include the University mission statement along with full and accurate descriptions of its educational programs and degree requirements, academic calendars, learning resources, policies and practices, charges and refund policies, and the academic credentials of its faculty and administrators[42].

23. Antioch University accurately discloses it's standing with accrediting bodies with which it is associated.

24. Upon request, the University makes available accurate records of its financial status and condition.

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[40] *Available in University Resource Room for FY2000, FY 2001, and FY 2002.*

[41] *See University Budgets in University Resource Room under "Financial."*

[42] *Campus Catalogues for the whole University are available in the University Resource Room and individually at each of the campuses.*

Chapter 3

The Mission and Values of Antioch University

NCA Criterion One: Antioch University has clear and publicly stated purposes consistent with its mission and appropriate to an institution of higher education.

Antioch University Mission Statement

Antioch University provides programs of study leading to the Bachelors, Masters, and Doctors degrees, as well as other related special programs of study. Founded in 1852 as a College of Liberal Arts and Sciences, Antioch has evolved into a national multi-campus university serving over 5,000 students. Governed by a national Board of Trustees, its campuses, which serve students both on and beyond the physical campuses, currently include Antioch College and Antioch University McGregor in Yellow Springs, Ohio; New England (Keene, NH); the Pacific Northwest (Seattle); and Southern California (Los Angeles and Santa Barbara). University Administration is located in Yellow Springs.

All programs of Antioch University aim to develop students and graduates who grow in their commitment to contribute personally to improvement in the human condition through responsible leadership that fosters productive, democratic change in the institutions and communities in which they live and work. These programs are guided by core educational values that include rigorous scholarship and academic discipline, engaged service, community involvement, and student-centered, well-rounded learning. Committed to finding the most effective approaches to student learning through innovation and experimentation, Antioch encourages students to integrate work and study, to incorporate experience with academic study and reflection, and to address issues within a social and political context.

Each of Antioch's campuses has developed statements of mission, vision, and/or purpose in conjunction with its campus-based strategic planning. These statements serve to bridge the University Mission Statement, Statement of Values, and Strategic Plan with the goals, efforts, and planning processes on the campuses. The statements range from brief and concise to broader statements of philosophy and values. They appear in Appendix C.

Common University Values – Distinctive Campus Emphases

Antioch University has had a clear and consistent mission since the time it was founded. It is a university that is acutely aware of its history. Reference to Horace Mann, its founder, is commonplace on Antioch campuses and the university community continually struggles to live up to the ideals that Mann enumerated for self and society, particularly that each individual has obligations to humanity that must be evident in how they live their lives. The purpose of the University is to prepare students for that life.

The current Antioch University Mission presents an elegant statement of the University structure and purpose (five campuses, bachelors through doctorate degrees), and identifies the core institutional values that bind the University and its educational programs together (rigorous academics, engaged service and community involvement, and student-centered well rounded learning). Each of the University's non-residential campuses, as part of strategic planning, undertook a process of self-examination that engaged all members of the community and resulted in statements of mission, value, and purpose[43]. Antioch College is on a different timetable for strategic planning[44]. These processes were conducted independently by campuses and were informed by the University Mission statement and by knowledge of Antioch's history and traditions. A simple content analysis of the statements is revealing.

The University values appear throughout the statements of the separate campuses. First is the value of rigorous scholarship and academic discipline. Antioch College stresses the function of the "academic curriculum" in broadening knowledge and instilling thinking and intellectual skills; Antioch New England's statement includes multiple references to "scholarship" and "research"; Antioch Southern California, Seattle, and McGregor all provide clear statements of how they define educational "excellence."

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[43] *Antioch College carried out strategic planning and implementation on a different timetable than the non-residential campuses. See the "Antioch College Strategic Plan, 1997" in the University or College Resource Rooms.*
[44] *See College Self-study.*

Central to the institutional value system, and perhaps the values that most define an Antioch education, are engaged service and community involvement[45]. The University mission statement calls on Antioch students to "consider issues within a social and political context." The oft-quoted proclamation by Horace Mann: "Be ashamed to die until you have won some victory for humanity," embodies these values of engaged commitment. The quote is literally carved in stone at Antioch College, appears in brochures and mailings, and is spoken aloud at every commencement ceremony across the University. The College mission states unequivocally that the empowerment of students to rise to this challenge is its primary goal. Antioch College students are expected to become, among other things, "courageous practitioners." One of the three components of the College experience, along with the curriculum and co-op, is active involvement in their own community decision-making. Antioch New England challenges its students to be activists and improve the quality of life in their communities and the world. Antioch Southern California stresses the need to work toward common ground with others and to build and contribute to just and sustainable communities. McGregor speaks of the need to be responsive to social concerns and to participate in community life. Antioch Seattle strives to engage learners in lifelong development, become change agents in a changing world, and engaged in their communities.

In tandem with this emphasis on social involvement and contribution, much emphasis has always been placed on the development of the individual. Antioch seeks to develop leaders who become the vehicles for social change. This is done primarily through educational programs that integrate work and study in an effort to develop the whole person fully. The University mission statement describes the educational approach as "student-centered" and directed toward "well-rounded learning." This emphasis appears throughout the campus mission statements. The first two components of an Antioch College education, the academic curriculum and cooperative education are, in large part, student self-designed with faculty oversight and input, and directed toward the enhancement and development of individual values, and traits such as "independence, confidence, and self-motivation." Antioch New England views its learning approach as

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[45] *A recent example of Antioch University's focus on engaged community service can be found in a Washington Monthly study in conjunction with the Medill School of Journalism at Northwestern University, published in January 2002, indicating that Antioch University ranked 4th among American higher educational institutions in the percent of FWSP funds expended on community service activities.*

"transformative" through the linkage of scholarship and activism, and stresses the value of self-understanding. Seattle also states as its principal goal "transformative education." Antioch Southern California refers in its value statements to "the whole person." Antioch University McGregor stresses development of intellectual, emotional, and ethical aspects of the self and seeks to "contribute to the betterment of the individual."

Anyone familiar with these campuses will recognize each in its statements, and yet there are threads emanating from the University mission that run through all of them. The University statement stresses academic study and reflection. Three of the five Antioch campus statements use the term "reflection" to describe their educational process. The University statement points to the importance of responsible leadership. Three of the five campuses identify "leadership" as an intended outcome. The University mission statement describes the institutional philosophy and approach to education as innovative and experimental. Three campuses refer to "innovation" in their statements, and four refer either to producing experimenters, or research, inquiry, and/or entrepreneurial activity. Throughout all the statements are clear emphases on social responsibility, engagement, and involvement. The University statement speaks of the importance of understanding issues in a social and political context; Antioch College refers to knowledge of self and society, responsibility for social issues, and respect for society; Antioch New England states its commitment to promote social justice, advance the common economic good, sense of belonging and community; Antioch Southern California values global perspectives, social justice, and social change; McGregor emphasizes societal needs, acting in accordance with principles of democracy, social responsibility, and commitment to the betterment of the wider society; and Antioch Seattle stresses "agency in a changing world" and "community engagement."

Along with these common themes and threads, each of the campus' mission and value statements reflects the distinctiveness of that campus. Antioch College has a clear tripartite approach to liberal arts education for the traditional age undergraduate and this is clearly expressed in its statements. Antioch New England, whose programs are exclusively graduate and where two of the three doctoral programs are housed, stresses the centrality of research and scholarship to its particular mission within the University. Antioch University Southern

California, reflecting its multicultural and urban environment and consciousness, stresses above all else social equality and actively opposing racism and the many other 'isms' of contemporary culture and society. Antioch McGregor stresses the leadership and entrepreneurial values of its namesake while emphasizing cultural diversity and an international perspective in its programs. Seattle emphasizes integration, access, engagement, and learner-centeredness in unambiguous terms.

Recommendations Concerning Institutional Mission

The first goal of the *University Plan*, approved by the Board of Trustees in 1999, reads as follows:

Goal One: *Revise the institutional vision and mission of Antioch in the twenty-first century.*

Objectives:

1) *The Board will conduct, following the next accreditation, a full review of both the University Vision and Mission statements.*

1) *All University campuses will review their mission statements to assess their congruence with the University Mission, Vision, and Values.*

For the non-residential campuses, the second objective was accomplished as part of the campus strategic planning processes in 1999/2000 and was just reviewed. In response to the first objective, the Board will review the University mission in 2003 as a part of *The Future of Antioch*.

Recommendation 1: A small part of the mission review will be simple updating. For example: reflecting the change in name for Antioch University McGregor, and the more commonly used and accurate term of *University* administration rather than *system* or *central* administration.

Recommendation #2: At the more substantive level, the Board will carefully consider whether the mission, as currently stated, accurately reflects changes in the institution since 1989.

Recommendation #3: More significant, the Board will need to consider whether the mission accurately charts the course it intends to take for the foreseeable future. The Board should attend carefully to three sources of information in its review of the mission: the findings of the "Future of Antioch" task forces to be completed in October 2003[46], the report and recommendations of the NCA comprehensive review team for re-accreditation, and the advice and direction of the new chancellor of the University and the University Leadership Council.

Recommendation #4: Throughout the mission revision process, Antioch and all her constituencies should carefully attend to the connections, or lack of connections, between the educational purposes, values, and stated outcomes contained in these statements, and the assessment practices in place within programs on each of the campuses.

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[46] *Discussed further in Chapter 8.*

Chapter 4

Governance and Administration

NCA Criterion Two: Antioch University has effectively organized the human, financial, and physical resources necessary to accomplish its purposes.

OVERVIEW

The structure of the University results in both opportunity and challenge. Within Antioch, there is a notion of "dual citizenship," whereby faculty, staff, students and administrators belong to and participate in the life of a campus and its local culture, and are also members of a larger university community. This larger institutional entity is connected through a common mission, a single Board of Trustees, a shared history, shared resources, and a complex set of financial agreements. The balance of local campus versus university-wide decision-making is a delicate one that rests on negotiation, tradition, and performance. From time to time the balance is re-negotiated and restructured. The full extent of "dual citizenship" as a lived reality varies considerably from campus to campus and constituencies within each campus. It is fair to say that there are students, faculty, and staff who are minimally aware or informed of Antioch University beyond their local campus. The geographical dispersion of campuses and the bifurcation of traditional-age college students and programs and nontraditional, non-residential adult education reinforce this separation.

This awareness is made acute on each campus by University finances and budget planning. Antioch operates its campuses in distinctive regional locations and with different markets. In any given year, financial performance may be uneven. Since each campus budget constitutes one part of the single University budget that ultimately must come into balance, and because historically Antioch is a tuition-driven institution, campuses often interact most around what is arguably the most sensitive, and at times contentious, aspect of University operations and planning. This results in varied feelings and perceptions of each campus toward the others. The University budget often serves to draw out the distinctions between the non-residential adult education campuses and the traditional-age residential liberal arts college, the latter clearly being the most expensive operation and enrollment-challenged in today's higher education environment.

On the other hand, there is a general awareness throughout the University of the distinctive historical place that Antioch College holds in American higher education. This is a source of pride throughout the system and; the source of the University legacy and mission emphasis on

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social justice, humanistic values, innovation, integration of work and study, education of the whole person, and community involvement. The dynamics of our structural arrangement sometimes result in conflict, but often that conflict is dynamic, creative, and productive.

From 1998 to the present, the themes that provide context for an understanding of the University include strategic planning, governance, self-evaluation, and transition. Strategic planning occupied much of the time and energy of the University Leadership Council, first through the development of the University Plan in 1998 and 1999, then through the planning processes and subsequent implementation of goals on each of the campuses[47].

The past 3 years have served as a test of the durability and efficacy of the federated University governance structure that came out of the reorganization process that was engineered during the latter half of the Guskin administration. There was not only a new chancellor, but also at every one of the campuses save New England, new chief executive officers appointed between 1997 and 1999. The focus of this chapter is how a unique multi-system structure requiring on-going negotiation and balance accommodates new leadership and the shifting challenges of five campuses.

Self-evaluation followed from this arrangement. In addition to the affirmation of chief executives on several campuses, 2001 marked the beginning of a time of transition with retirements and shifting responsibility in several key areas of leadership. The University Board of Trustees has also undergone considerable self-evaluation over the past two years[48].

Antioch University Administration

The reorganization of the University administrative structure, which redefined administrative roles in the University and at the College, began in 1993 and was fully implemented by July 1994. The integrated administrative computing software in the financial area was implemented in July 1995. Finally, in February 1998, the designation of campus chief administrative officers at the non-residential campuses was changed from *Provost* to *President*.

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[47] *Discussed in detail in Chapter 8 and addressed throughout this document.*
[48] *These issues are addressed in Chapters 4 and 8.*

This reorganization created a totally new central administrative structure. In this federal structure, each campus is responsible for initiation and management of its academic programs, for its own faculty and staff, student enrollment and expectations, management of fiscal resources and facilities, and related operations. The Board further mandated that each of the non-residential campuses establish a Board of Visitors and become responsible for fund-raising to a greater extent. Each campus is expected to experiment and be self-governing within the principles and policies necessary to the University as a whole.

The underlying assumption of the federal model is that each campus is also related to every other member, carrying a dual citizenship. Each has allegiance to the basic purpose, mission, philosophy and well-being of the entire University. That allegiance is through accountability to the University Leadership Council (ULC), to the chancellor and to the Board of Trustees for fulfilling the mission of the University, meeting the policies and supporting procedures established by the Board of Trustees, the effective management of the campus, and for upholding and representing the shared values and purposes for which Antioch University stands.

This federal structure significantly changed the previous assumptions and operating practices of the University administration. The aim was to create a collaborative decision-making culture across the University, avoiding the command structure typical of most organizations. The *central* administration became *University-wide* administration. At the same time, overhead costs associated with University-wide administration were reduced by nearly half of previous levels, ensuring that University-wide administration focus on truly University-wide issues and do so efficiently. These include fulfillment of mission and Board policies, fiscal oversight, encouragement and coordination of fund raising.

The chancellor's role is focused on building partnerships and collaboration, facilitating university-wide policy development, developing and sustaining integrating mechanisms, systems and services that enhance the whole, and system leadership through negotiation and planning. The chancellor retains the capability, authority, and obligation to invoke the unwritten covenant

that binds the institution together and gives it coherence, character and quality in the external world, and has final authority on matters related to University-wide budget development.

As the federal model evolves, there is a continuing need to balance the campus-based forces with a strong counter-force of integration and common purpose. This balancing act requires the chief executive of each campus and the University to function as leaders in the midst of a good deal of uncertainty. On controversial matters there can be no clear winners and losers; everyone has to take part in a negotiation held in the context of the University as a whole and the reality that there will be other days and other issues. This tension, between campus interests and common ground, more often than not, is a healthy and creative tension. It is also true that a model of governance based on federalist principles is both complex and often misunderstood by many in the at-large University community.

The ULC considers all significant administrative matters and recommends to the chancellor those policies that it believes are necessary or desirable for the proper functioning of the University, for submission by the chancellor to the Board of Trustees. The ULC is comprised of the chancellor, the vice-chancellor for finance, and the presidents of the five campuses of the University. The chancellor has also designated the vice-chancellor for development, the associate to the chancellor, and the dean for University-wide programs as participants at all ULC meetings. There are also two ULC subcommittees: the Academic Deans' Subcommittee, and the Chief Fiscal Officers' Subcommittee.

The ULC meets at least six times per year. Twice a year, usually in July and December, an expanded ULC, including the complete Academic Deans' Subcommittee, meets in retreat to deal with major strategic and policy issues. Once a year, usually in the spring, the ULC, including the Chief Fiscal Officers Subcommittee, meets to review and approve the annual budgets of each of the campuses and the University Administration. Three times a year, the ULC meets prior to the Board of Trustees meeting to deal with University-wide administrative issues and prepare for the Board meeting. The ULC makes use of conference calling between these face-to-face meetings to deal with other University business as needed.

The activities of the ULC are as follows:

- Reviews proposed changes in mission statements for each campus and for the University and makes recommendations to the Board through the chancellor;
- Develops strategic priorities/directions for the University and, where appropriate, makes recommendations for approval to the Board through the chancellor;
- Reviews and approves annual budget proposals for each campus and for the University and makes recommendations to the Board through the chancellor;
- Reviews preliminary concept papers and full proposals for new degree programs throughout the University and makes recommendations to the Board through the chancellor;
- Develops, reviews, and approves University-wide policies and implementation plans and makes recommendations to the Board through the chancellor;
- Reviews and approves proposals for significant program changes or additions;
- Conducts periodic program reviews and assessments;
- Reviews and approves proposals for major organizational changes at the campus and University levels;
- Reviews major planning documents for each campus and develops and approves University-level plans;
- Develops and discusses other important campus and University activities and issues deemed appropriate by the chancellor or any member of the ULC or as requested by the Board through its Chair.

More informally, the Council functions as a forum for information exchange, for mutual consultation and support and, most important, for nurturing a shared vision for the University[49].

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[49] *Minutes from ULC meetings are available for review in the University Resource Room.*

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Ph.D. Program
Administrator/Registrar
V. Nighswander

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Antioch University

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Administrative Restructuring and Roles

The concern with restructuring stated by the 1993 review team was as follows:

> **NCA Concern:** The decision of the Board of Trustees to create separate positions of chancellor of the University and president of the College, along with the continued development of the roles of the adult campuses' chief administrators, requires delicate balance, careful adjustments, and monitoring. Without on-going communication engaged in by all constituencies and at all locations with provision for constant flow of information regarding what adjustments are being put forward and considered, the anxieties attendant on such change could seriously undermine morale, particularly at the College. In addition, without this attention to information-sharing and participatory interaction, the Antioch-valued tradition of community will be gravely compromised[50].

1. ***Background.*** At the time of the 1993 review, Antioch began implementation of a restructuring plan of the University administration in the form of decentralizing many administrative functions.

The restructuring plan was implemented by 1996. The title *Provost* at the non-residential campuses, was changed to *President* by Board resolution in February 1998. As described earlier, the vehicle through which this group conducts business and carries on the critical communicative functions identified by the 1993 reviewers is the *University Leadership Council (ULC)*[51].

As noted earlier in *Changes since the last review*, we have experienced considerable changeover in senior personnel throughout the University. Along with the considerable and expected turnover in Board composition over the ten-year period, a relatively new cast of administrators is now in place to test the robustness of the new structure. In effect, with few exceptions, those who designed the administrative restructuring are no longer those who currently operate within it.

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[50] *Report of a Visit, pp. 50-51.*
[51] *The governance structure of this administrative body (the ULC), and its relationship to the Board of Trustees, is described in much of Antioch's documentation and literature as The Federal Model. See Chapter 3.*

Evaluation and Self-Study

During 2000/2001, with the completed decentralization now six years old, a systematic evaluation of both the Board and the ULC took place. Each body evaluated itself, the other, and the quality of the working relationship between the two. The University retained for consultation **The Chatham Group**, with offices in Boston and Cleveland, to assist with this evaluation. Mr. Fred Miller of the Chatham Group attended Fall, Winter, and Spring Antioch Board meetings in 2000/2001, facilitated extended discussions, maintained communications with Board and ULC members throughout the year, and surveyed all members of ULC and the Board. Survey information was fed back to both groups for reflection, processing, and further discussion. The conditions under which the surveys were conducted guaranteed confidentiality to participants. General themes that emerged from the discussions, and areas where improvement was needed, however, are summarized below.

*ULC on ULC***:** The principal concerns with effectiveness and challenges facing the University Leadership Council revolved around key themes of trust, authenticity, and the challenge presidents have in balancing the institutional needs of their campuses with the institutional needs of the University. The ULC is perceived to work best when members focus on the big picture of the University rather than the smaller picture of their own campuses or areas of responsibility. The ULC is perceived to work best as a place for collegial problem-solving and support.

*ULC on the Board***:** There was general agreement that ULC-Board relations were not optimal. Members felt there was lack of clarity around roles, authority, and lines of communication. Communication avenues and channels between the two bodies were not always clear.

*The Board on ULC***:** Communication was seen as inadequate. The Trustees felt they were not sufficiently informed about concerns, dilemmas, decisions, and actions of the ULC.

The Board on the Board: Board members felt they were not being used effectively and were not providing full value to Antioch. They also felt they were not focusing on the "big issues" that they needed to be addressing.

Actions Taken. Based on these evaluative assessments, it was recommended that the Board of Trustees focus its attention on three areas. First, University finances required attention. University resources were stretched to the limit resulting in an environment that was driven by unmet need and demands, low morale, a perception of ineffective management, and low self-evaluation. Ways to more effectively manage and control available funds were needed, increases in donated funds needed to be pursued, and escalating the University's preparedness for a capital campaign needed to be given top priority.

Second, University planning required attention. The *University Plan* set laudable goals but failed to take into account internal factors and variables that prevented progress. The Plan needed to be carefully reconsidered, Trustee buy-in needed to be greater, attention to operating plans and budgets was necessary to insure success of the Plan and the Capital Campaign.

The third area for attention that came out of the self-evaluation is how leadership across the University is understood and exercised. This includes reporting and communication lines in both directions between and among the presidents, the chancellor, and the Board.

University Finances. In order to address these areas of concern, the Board of Trustees resolved to work with the ULC through several mechanisms. At the June 2001 Board Meeting in Keene, New Hampshire, two Board *ad hoc* committee structures were put into effect. The first was a *Financial Stabilization Committee* to be charged with a careful review of the University's finances resulting in recommendations that would address both immediate short-term difficulties as well as long-term strategic and structural improvements that would sustain the institution's long-term viability. This committee worked over the summer of 2001 and made its recommendations to the Board in October 2001 (see below). Following this report, the *ad hoc* committee was dissolved.

Strategic Planning. The second group began its work during the June 2002 Board meeting with a focus on the future of Antioch University. A plan for Task Force working groups chaired by campus presidents and including Board and other University constituency involvement, was recommended in order to study key areas of University operations. Priority areas for study identified jointly by the University Leadership Council and the Board of Trustees at the June 2002 Board meeting are *1) cooperation and collaboration across the University in support of the University mission, 2) program growth and innovation, 3) build-up of University infrastructure and capacity, and 4) promotion of the University's reputation and visibility.* The findings from these work groups are to inform strategic planning, goals and timelines and are due for completion at the time of the October 2003 Board meeting.

Other critical Board-initiated actions originating at Keene in June 2001 were introduced and implemented:

A. Following a report from Ketchum Inc., on the campaign potential of Antioch University, a resolution was introduced and passed authorizing the beginning of the silent phase of the campaign.

B. In order to bridge communications between the Board and the ULC, to begin the early groundwork for the capital campaign, and to assist in the leadership transitions in 2001/2002, several role clarifications and new assignments were made. The Board chair would shift considerable time and energy to work on the Campaign, and a Vice-Chair of the Board was designated. The Chancellor would shift time and attention to academic developments and the NCA accreditation process, and an Executive Vice-Chair from the Board was designated who would work with the ULC over the coming months.

The Board Stabilization Committee worked through Summer 2001 and made its first formal report with recommendations to the ULC in October. The committee considered University finances in light of poor overall performance in the 2000/2001 fiscal year, poor returns on the endowment in the first several months of the current fiscal year, growth in tuition discounting at Antioch College, slow progress toward the enrollment goal of 800 FTE at Antioch College, and finally, growing uncertainty created by the tragic events of September 11. In general, the committee found that the growing gap between rates of revenue and expenditure growth was

unsustainable and called for systemic alterations in budget assumptions and budget planning. Campus presidents were asked to begin work immediately to close the gap for the current fiscal year, and to consider changes in planning, processes, and practices that would insure stabilization over the long term and position Antioch to carry through with its capital campaign plans.

Leadership. Currently, Antioch University is undergoing considerable change in leadership. Three campus presidents and the new chancellor will have been in office less than a year at the time of the re-accreditation review. During the evaluation and self-assessment of the University Leadership Council in 1999/2000, a question that was raised several times was whether the difficulties the ULC experienced at times were attributable to the dynamics of the personalities involved, the structure itself, or some other variable(s). Or more accurately, how much relative influence do personalities and structure exert on the effectiveness of the ULC, and in what measure? While this question cannot be answered definitively and is largely a matter of perception and judgment, the implications for action are considerable. The Board committee charged with reviewing the findings of the self-evaluations identified the relationship between the University chancellor and the College president as most critical to effective functioning of the leadership team, as did NCA in its concerns. The committee concluded that the so-called "Federal Model" in itself was not necessarily problematic, but that clarification of the roles and reporting relationships between these two positions was necessary. At present, despite the relative newness of its membership, the ULC is perceived to be functioning effectively as a group, and its interactions with the Board are viewed as positive.

Antioch University Board of Trustees[52]

The By-laws of Antioch University set the size of the Board: "…The number of trustees shall be not less than fifteen and not more than forty persons of legal majority…." (Article 2.2.1) At the time of the 1993 review, the Antioch University Board of Trustees had twenty-six regular members, and two *ex officio* members. In July 2002, the Board membership stands at eighteen, with three *emeritus* members, and two *ex officio* members. Two of the current regular Board members were members in 1993. Sixteen of the current eighteen regular members are graduates

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[52] *Resumes for all current Board members are available in the University Resource Room.*

of Antioch (mostly from the College). Members of the Board are elected by the membership for three-year terms that are renewable for a maximum of four total terms. Current membership includes corporate executives, university professors, physicians, attorneys, and community leaders. The University By-laws were amended in Fall 2001 to increase the maximum size of the Board from thirty to forty, and an explicit goal of the Board is to build its membership to a larger constituency with broader representation of influential individuals working in areas consistent with Antioch's mission and values.

The Antioch Board of Trustees operates with an executive committee and six standing committees (trusteeship, finance, investment, development, academic affairs, and physical facilities). The Board meets three times annually in Fall, Winter, and Spring, and as needed via teleconference between regularly scheduled meetings. The Board rotates its meetings around the University campuses, which affords the opportunity to interact with campus constituencies and continually reinforce the concept of Antioch as a single University. The University chancellor, vice-chancellors, campus presidents, and other designates of the chancellor or Board sit with the Board and participate in its open meetings[53].

Throughout the discussions of governance, above, one finds frequent reference to interactions with the Board of Trustees. Antioch University has a strong, engaged national board that works closely with the ULC to establish policy, monitor performance and hold the University to high standards of accountability.

As noted earlier, over the past several years the Board has engaged in its own self-examination, engaging consultants and holding several retreats. Dr. John Merselis, then vice-chair of the Board and chair of the trusteeship committee, reported the analysis and findings at the recent meeting of the Board in June 2002. We summarize those conclusions here:

> The Board of Trustees shares a strong belief in Antiochian values and in a values-based education. The Board strongly affirms the concept of university and is committed to making it work. The Board is fully aware of difficult issues that must be addressed, including especially *money, strategy and leadership*.

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[53] *The By-laws of Antioch University, Board agendas, and official minutes of all Board meetings are available in the University Resource Room.*

In dealing with money, the Board has approved a financial stabilization plan, and authorized both a feasibility study and, subsequently, a capital campaign for endowment at Antioch College.

Strategy will be addressed over the next two years through a *Future of Antioch* study, an in-depth review and plan for our future, led by the Board in consultation with the entire University community.

Leadership issues have already been addressed in the first half of 2002 by establishing a chancellor succession plan; b) engaging a new College president; and c) a Board succession plan leading to the election of a new Board Chair and slate of officers.

Chapter 5

Resources

HUMAN RESOURCES

The Faculty

Faculty are the University's essential resource. As the following charts (Tables 1,2, and 3) show, there are 182 full-time faculty in the University as of Spring 2002, with slightly over 50% in the age range of 35-50. Approximately 58% are women, and approximately 17% are faculty of color. Part-time faculty number 392. These numbers and percentages vary campus by campus and, within a campus, between programs. That detail, in terms of campus-based characteristics and composition, can be found in the individual campus self-studies. It should also be noted that the faculty of the new Ph.D. program have not been included in these charts because of the timing of production of this University *Self-study*, but detail on the Ph.D. Program can be found in Chapter 7.

Faculty in the Antioch system have different contractual arrangements at each campus. Faculty at Antioch College have contracts that reflect the rank and tenure system. Core Faculty at the non-residential campuses have one-year or multiyear contracts, depending upon the campus. All faculty in the Ph.D. in Leadership Program have multi-year contracts. Associate and Adjunct faculty at all Antioch campus have quarterly contracts.

The University requires that all Core Faculty be evaluated annually if they hold one-year contracts, and that the process includes self-, student-, and peer-evaluation elements, where possible. Each campus has slight variations within this University mandate and is detailed in campus self-studies. What is critical is that faculty are evaluated fairly and regularly, in a process that supports and encourages excellence in teaching, advising, scholarship and contributions to program, campus and profession.

An example of each campus' variation to the University's evaluation mandate is exemplified by the Ph.D. in Leadership's preface to its evaluation procedure: the Ph.D. Program's approach to evaluation is to develop and engage in an evaluative process that fits the organizational culture of respecting both program priorities and individual innovation, and helps

faculty define and focus their work within a model of faculty well-being and program health. The central characteristics of the process are: a process that supports reflective practice, recognizes creative and vigorous scholarship and service, reinforces effective and caring teaching and advising/mentoring, and encourages a collaborative faculty and learning community.

Although Antioch University, except for Antioch College, does not offer tenure, there is very little turnover among faculty. Again, this will vary campus to campus and more detail can be found in individual self-studies. However, some examples here may be illustrative: Antioch Santa Barbara has had a very stable Core Faculty since the 1993 visit, with no turn-over in the BA Completion program, one retirement in the Management program, and of the four faculty that left the Psychology program, all have been replaced with faculty who have now been there for over five years. The fact that so many of Antioch's faculty remain at Antioch for years, despite the lack of tenure, provides evidence of the faculty's commitment to the institution and its students. As was apparent back in 1993, the same commitment and responsiveness is a hallmark of our faculty today.

Issues. There are a number of areas of faculty work life and responsibilities with which the institution continues to struggle. The first is faculty compensation. Across the system, Core Faculty salaries are not at the level we would like them to be. While the overall compensation package includes generous benefits, such as a 13% institutional contribution to TIAA-CREF, baseline salaries over the past 10 years have generally increased only 2-4% on each campus for most years. Antioch College faculty raises have ranged up to 8%. Many campuses have established new salary target goals but fiscal constraints have made achieving those goals difficult these past several years. At the time of this writing, the ULC has begun the process of a salary and compensation review for the entire University system[54].

A second area of faculty work life that is being addressed on a number of Antioch's campuses is the range and diversity of faculty workload, in essence, the deployment of faculty resources. This is a challenging area at all institutions of higher learning, but it is particularly

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[54] *Average salaries by rank by campus may be found in the BIDs.*

challenging in systems that employ individualized annual faculty job descriptions, provide both classroom and on-line teaching, and offer program delivery models that range from course-based to competency-based, and structured to individualized. Each campus strives to address faculty workload issues in ways that are consistent with their campus culture and organizational model. As new programs are established and as new faculty and administrators join campuses, decisions about workload must be re-visited and re-negotiated.

Another area of faculty work life that is being addressed is professional development. Each campus sets aside monies and release time to support faculty development, but in recent years, that support has been limited given financial belt-tightening. Despite this, faculty scholarship on some campuses, such as Antioch New England, has been extraordinarily high. At the same time, and in addition to the campus-based support, some University funds were released during this period to support professional development in the area of on-line teaching. However, the financial constraints of the past several years, coupled with heavy workloads in year-round systems, means that it is challenging for faculty at many of the Antioch campuses to find the time and support to engage in research and scholarship. Some campuses, and programs, have been more successful than others, as is apparent from the list of faculty publications identified in the *Indicators of Progress* of each campus.

TABLE #1
ANTIOCH UNIVERSITY FACULTY
Spring 2002

CAMPUS	Full-time	Part-time	Total
Antioch College	57	8	65
Antioch McGregor	16	67	83
Antioch Seattle	42	51	93
New England	37	79	116
Los Angeles	21	73	94
Santa Barbara	9	114	123
University Totals	182	392	574

Source: Campus Basic Institutional Data Forms, Spring 2002.

TABLE #2
ANTIOCH UNIVERSITY FACULTY (F/T)
Gender and Race
Spring 2002

CAMPUS	GENDER			RACE					
	Male	Female		White	Black	Asian	Native American	Hisp.	Other
College	28	29		47	5	3	--	2	--
McGregor	6	10		13	2	1	--	--	--
Seattle	15	27		31	3	2	2	--	4
New England	19	18		35	1	1	--	--	--
Los Angeles	6	15		17	3	1	--	--	--
Santa Barbara	2	7		8	1	--	--	--	--
TOTALS	76	106		151	15	8	2	2	4
TOTAL %	42%	58%		83%					

Source: Basic Institutional Data Forms, Spring 2002.

Table #3
ANTIOCH UNIVERSITY FACULTY (F/T)
Age Distribution
Spring 2002

	Age Range			
CAMPUS	*20-35*	*35-50*	*50-65*	*>65*
Antioch College	13	15	26	3
Antioch McGregor	2	6	8	0
Antioch Seattle	1	17	24	0
Antioch New England	0	16	21	0
Antioch Los Angeles	1	8	10	2
Santa Barbara	0	4	5	0
TOTALS				
University-wide	17	66	94	5
University-wide (%)	9.35%	36.3%	51.6%	2.75%

Source: Basic Institutional Data Forms, Spring, 2002.

Financial Resources

University Plan: Goal Seven – Strengthen the Fiscal Structure

NCA Concerns: Antioch University, like most not-for-profit institutions, operates within stringent fiscal boundaries. In the 1993 S*elf-study*, the University identified its primary financial challenge, its strategy for dealing with that challenge, and the need to redirect the strategy if it was found not to be effective.

> Despite the substantial increase in the fiscal health of the University over the last five years, a number of concerns remain. *Enrollment at the College must continue to grow to sustain the rebuilding process.* Even with the substantial direct and indirect subsidies from the University, there are considerable un-funded needs at the College. More capital is needed to enhance the academic program, expand student services and campus maintenance program, increase salaries, increase faculty and staff development, and augment capital and expense budgets. In fact, the present operations of the College and the building of the curriculum are predicated on modest enrollment growth over the next few years. An enrollment of 700+ FTE will begin to meet these needs. Obviously, if this enrollment is not met, then changes will be required to meet the College's need to maintain a balanced budget based on tuition revenues and the existing University subsidy[55].

In its 1993 report, the review team complimented Antioch administrators and the Board for "sound planning" that established "clear and appropriate priorities and policies between units." The team noted "since 1985, the University has dealt skillfully and creatively with serious financial issues that would have closed most institutions." Nonetheless, in its concluding section, the 1993 review team stated "University finances remain a serious concern."[56]

As a result, NCA requested that Antioch file a financial status report annually, a process that was continued until FY 1999. As the following table shows, Antioch University ran a balanced or net cash basis surplus budget from FY 1996 until FY 2001 (at this writing, the books on FY 2002 have not been closed but will be available at the time of the visit). The following tables depict (a) the revenue growth history of the University since 1992 – 1993, and (b) the net cash surplus beginning in FY 1996.

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[55] *Antioch University, An Institutional Self-Study, 1993, Volume I, pp. 40-41.*
[56] *Report of a Visit, page 35; page 51.*

TABLE #4

ANTIOCH UNIVERSITY
Net Cash Basis Budget
FY 1996 – FY 2002*

1996	$119,915
1997	440,171
1998	638, 477
1999	1,384,861
2000	1,457,894
2001	-847
2002	Not yet known

*Implementation of FSB 116-117 began in 1996

TABLE #5

Antioch University

TOTAL REVENUE BY YEAR

1994-95 to 2002-03 (projected)
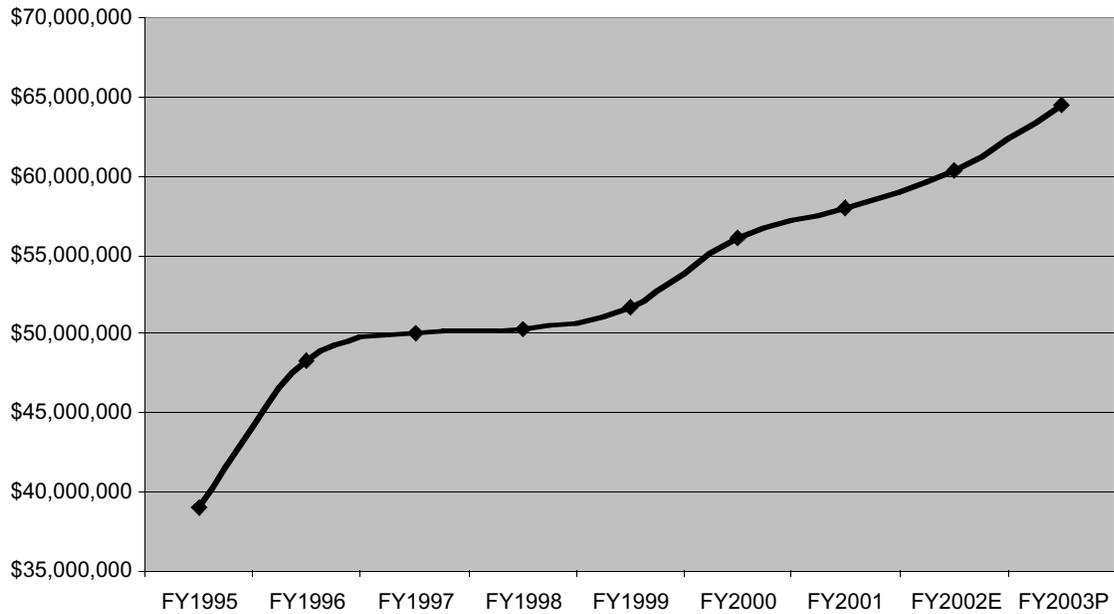
The operating or accrual budget in FY 2001 showed a deficit of approximately $1.6 million, due largely to revenue shortfalls at Antioch College and endowment losses due to the poor performance of the stock market.

Background. In its 1997 Strategic Plan, Antioch College set an enrollment goal of 800 FTE students by Fall 2000. Growth to this level was deemed necessary to maintain fiscal health. At this writing, FTE enrollment at Antioch College stands at 685. This number represents a modest gain from the level prevailing in 1996-97 (644), but remains 115 students short of the target. At the same time, operating expenses at Antioch College have grown faster than operating revenue, creating a growing gap that is not sustainable. The major components of the operating expense increases, cited above, are salaries and benefits, business operations, student financial aid, and plant maintenance.

Actions Taken: In order to address a persistent shortfall in enrollment and to improve student retention, Antioch College made significant new investments in faculty, staff, admissions and recruitment during the period 1997-2001. This ramping up was supported by the chancellor and the Board of Trustees as an essential investment in the College's academic program and infrastructure. It required a significant commitment of supplemental funds to fill the gap between tuition revenue and operating expenses. In recent years, the gap between costs and revenue, as for all private liberal arts colleges, has been closed through three sources of supplemental income: unrestricted gifts from benefactors; endowment earnings; and subsidies from the University. University subsidies are of two kinds: 1) a direct cash payment from the University (provided by the adult campuses) of $600,000 or more per year for the past 3 years; 2) an indirect subsidy by the non-residential campuses to meet the entire cost of the University overhead, thus exempting the College from about $1 million in expenses.

Recently, however, with the College enrollment seemingly unable to move to the targeted levels, it became clear that even these supplementary sources of College income would be insufficient. Because the non-residential campuses have reached the limits of their capacity to provide assistance to the College, we cannot expect to increase their contributions. There is broad agreement that increased subsidies are not an answer to the College's gap problem. For this reason, the Board and the University Administration created a special Board *Fiscal Stabilization Committee* to examine and redirect budget planning. During the past two years, their focus has been on two strategies:

1) Increase endowment dramatically through a targeted capital campaign. Although this strategy is discussed in another section of this report, we note here that the quiet phase of the campaign has already yielded an increase in the range of $15 million, virtually ensuring that Antioch's existing endowment expenditure policy (i.e., 5% of a 12-quarter moving average of the endowments value) will yield future increases in budgeted funds to Antioch College. We project further significant increases as capital campaign endowment gifts are received over the next five years.

2) Reduce expenses gradually, containing the overall size of the budget gap to be filled by supplementary funds at a manageable level, consistent with maintaining the quality of the

program. In Fall 2001, when enrollments were known and the potential magnitude of the problem identified, a multi-track process was put into effect to address the problem in both the current fiscal year and longer term. First, the Board Stabilization Committee, with input from the campus presidents, recommended to the ULC a broad slate of possible remedies for consideration. These ranged from consolidation of back-office administrative functions in Yellow Springs, to sale and lease-back of campuses, to personnel cuts. All of these were suggestions for review, not mandates, with revenue and expense targets built on the gap and risk analysis. The presidents then began working with their campus constituencies to reorganize and redraft their budgets. Antioch College, under Acting President and Chancellor James Hall, was asked to charge a group close to College operations to come up with ways to address the expense side of the worst-case scenario for the 2001/02 fiscal year, including also a series of positive possibilities, such as increased Spring enrollments, a strong stock market performance, bequests, etc. With support from the College's Administrative Council (AdCil), over $1 million in projected expenses were saved in FY 2002.

The enrollment and cost problems at Antioch College are not the only point of fiscal vulnerability for Antioch University, but they are the most significant one. Antioch, like most other institutions, has also experienced a market-driven decline in its endowment investments over the past two years. While these investment changes are not easily controllable in the short term, the University has taken actions to address those expenses that can be controlled. Currently, we project that the operating deficit at the College in FY 2003 will be approximately $600,000, a significant improvement over the expected final $1.6 million figure in FY 2002. For the longer term, as a key aspect of *The Future of Antioch* process, the University needs to address long-term budget planning, including plans to increase campus reserves, program investment funds, funds to support faculty and staff compensation levels, and facilities requirements.

Strategies/Recommendations

1. Undertake a five-year budget plan for the University as a part of *The Future of Antioch* process.

2. Implement new strategies for admissions, coordinated with a revised, targeted financial aid award process.

3. Complete the planned capital campaign for College endowment.

4. Consolidate many of the administrative functions at Antioch College, Antioch McGregor, and University Administration, producing operating efficiencies and improved services for the Yellow Springs operations[57].

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[57] *See the revised organization chart which depicts the new joint administration services unit.*

PHYSICAL RESOURCES

University Plan: Goal Ten – Project Space and Capital Needs

Physical Facilities. Antioch University owns and maintains ninety-one buildings. Most of these facilities are in Yellow Springs, Ohio. The others include the campus buildings in Seattle and Keene, New Hampshire. Southern California's facilities in Santa Barbara and Los Angeles are leased. Among the buildings in Yellow Springs, approximately forty make up the Antioch College Campus along with the Sontag-Fels building, which houses Antioch University McGregor. The remaining buildings are scattered throughout the Glen Helen Nature Preserve, and includes barns, sheds, garages, and stables.

In addition to maps showing the locations of University holdings, the *Inventory of Antioch University Buildings*[58] presents each building's date of construction, dates of any renovations, type of construction, size, and ratings of the building's condition and adaptability[59].

The University began the process of developing 5-year capital budgets in 1999. These budgets are intended to consider needs for major acquisitions of facilities, maintenance and upgrades, technology, and other capital expenditures beyond a single year. These budgets are presented campus by campus with an accompanying narrative on current and planned expenditures. A schedule summarizing items by category is included. The Board adopts the *Capital Budget* each year along with the annual operating budget. Many of the expenditures are directed toward addressing short-term replacement, repair, and renewal needs and are prioritized by safety requirements, student residential needs, academic support needs, and ability to fund[60].

Environmental Safety. The campuses of Antioch University take all possible precautions and make every effort to provide students with a safe and healthy environment. All campuses comply

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[58] *University Resource Room.*
[59] *Reviewers may also refer to the documents titled "Antioch College Facility Planning, 1999-2001," in "Facility Condition and Assessment Survey, April 6, 1999" conducted by Antioch College, for more detailed assessments of buildings. These are available in the Antioch College Resource Room.*
[60] *Five-year Capital Budgets are in the University Resource Room.*

with the Crime Awareness and Campus Security Act. Urban campuses provide such precautionary measures as escorts to student cars in the evening at the student's request. Several campuses have active wellness programs in place.

Chapter 6

Educational Programs

NCA Criterion Three: Antioch University is accomplishing its educational and other purposes.

Students

University Plan: Goal Three – Increase and Diversity the Student Body

Enrollments for Antioch University as a whole have remained relatively flat in recent years. Approximately seventy-percent of enrolled Antioch students study at the graduate level. A third doctoral degree offering was added in 2002, and sixteen master's degrees are offered across the University. Most undergraduates are traditional-age students attending Antioch College in Yellow Springs. Three of the four non-residential campuses, however, offer BA completion degrees for transfer students, primarily returning adult students.

Increasing enrollment across the University has been a priority, though at varying rates at different campuses. This was an explicit goal for Antioch College for whom an enrollment of 800 undergraduates was targeted in its strategic planning efforts for the latter 1990s. Though unable to attain this goal, Antioch College did improve retention rates and shows clear evidence of having successfully offered a strong academic program throughout the decade.

In the past year, Antioch College has made substantial revisions in its recruiting and admissions department. Of note, beginning with the Fall 2002 entering class, 100% of need-based student aid is being met and the amount of merit-based aid has doubled. In addition, the recruiting budget has been increased significantly to be more in keeping with Antioch's competitors. We expect to see clear gains as a result of these efforts within the next two to three years.

At the non-residential campuses, particularly on the west coast, enrollments in masters-level psychology degree programs showed a considerable decline, bottoming out at half their previous level by 1994. Management programs also showed enrollment losses across the University. Some campus management programs made modifications in delivery, scheduling and/or curricula, and recovered; others still struggle with under-enrollment. Declines in these two program areas, and unrealized enrollment targets at the College, were made up in part by the

introduction of several new education certification, licensing, and degree offerings, and several new degree areas across the University. These efforts to modify existing programs and introduce new ones allowed the University to maintain enrollment levels and, in some areas show incremental increases, but overall growth to date has not occurred at the level we would like to see, and anticipate in the future.

While speculative, we suspect that the overall flatness in the enrollment numbers of the last seven to eight years at the University's non-residential adult campuses may be attributable, in part, to the fact that the nation enjoyed a strong and even robust economy until the past year. Uncertain economic conditions historically have caused students to return to post-baccalaureate education to acquire additional skills to become more competitive or to change career direction. It will be interesting to monitor trends in the current climate of economic downturn. Increased competition from other institutions targeting adult learners has also been a factor.

TABLE 6

Antioch University Enrollments

	1999-00	2000-01	2001-02
TOTAL	3790	4128	3959
College	603	609	643
McGregor	645	626	650
So. California	786	829	864
New England	897	960	910
Seattle	859	1104	892

TABLE 7

Antioch University Enrollments

	1999-00	2000-01	2001-02
TOTAL	3381	3419	3464
College	649	683	686
McGregor	646	524	650
So. California	619	656	677
New England	689	716	705
Seattle	778	840	746
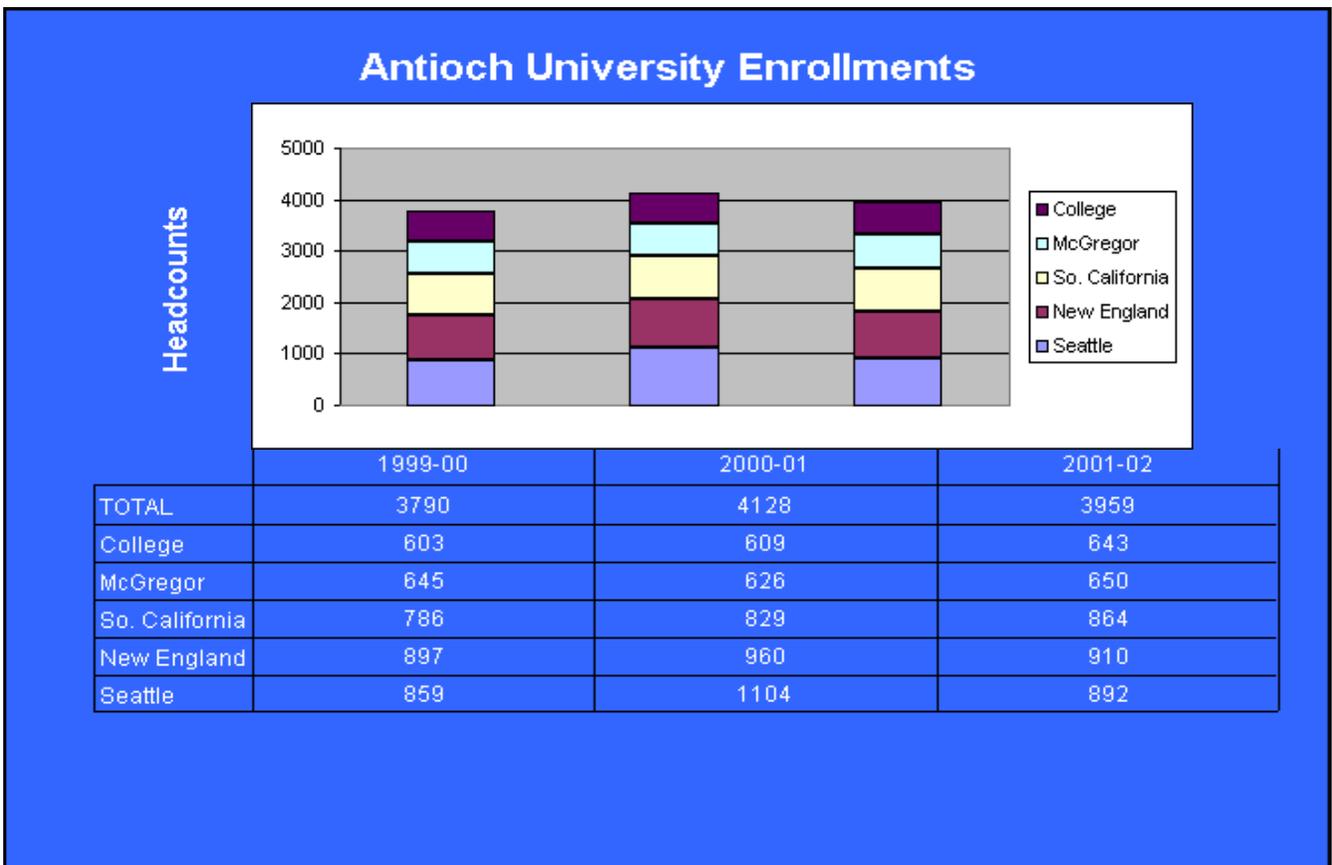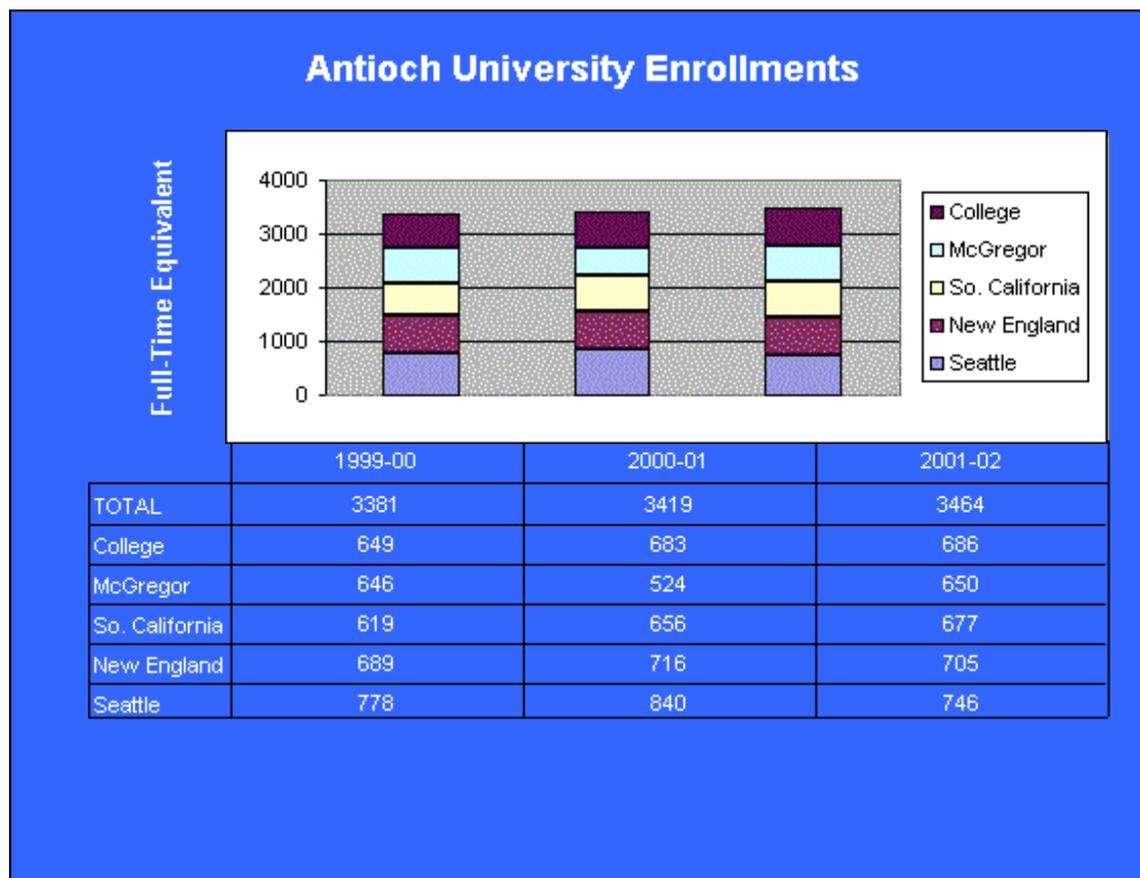
Student demographic patterns have also reflected a change during the past decade. While the average age of students on Antioch's adult campuses has not changed in any significant way, there is some evidence of a characteristic bimodal distribution, with more, younger students (25-29 age range) enrolling in programs, primarily because of the relationship of advanced degree to career development. Pedagogical approaches, student service expectations and technological integration are examples of areas that have been impacted by this shifting demographic. Student diversity has increased somewhat in recent years, especially since 1998.

TABLE 8

Student Diversity - University Wide

	1996/97	1997/98	1998/99	1999/00	2000/01

■ Caucasian ■ African-American □ Hispanic □ Other Non-Caucasian
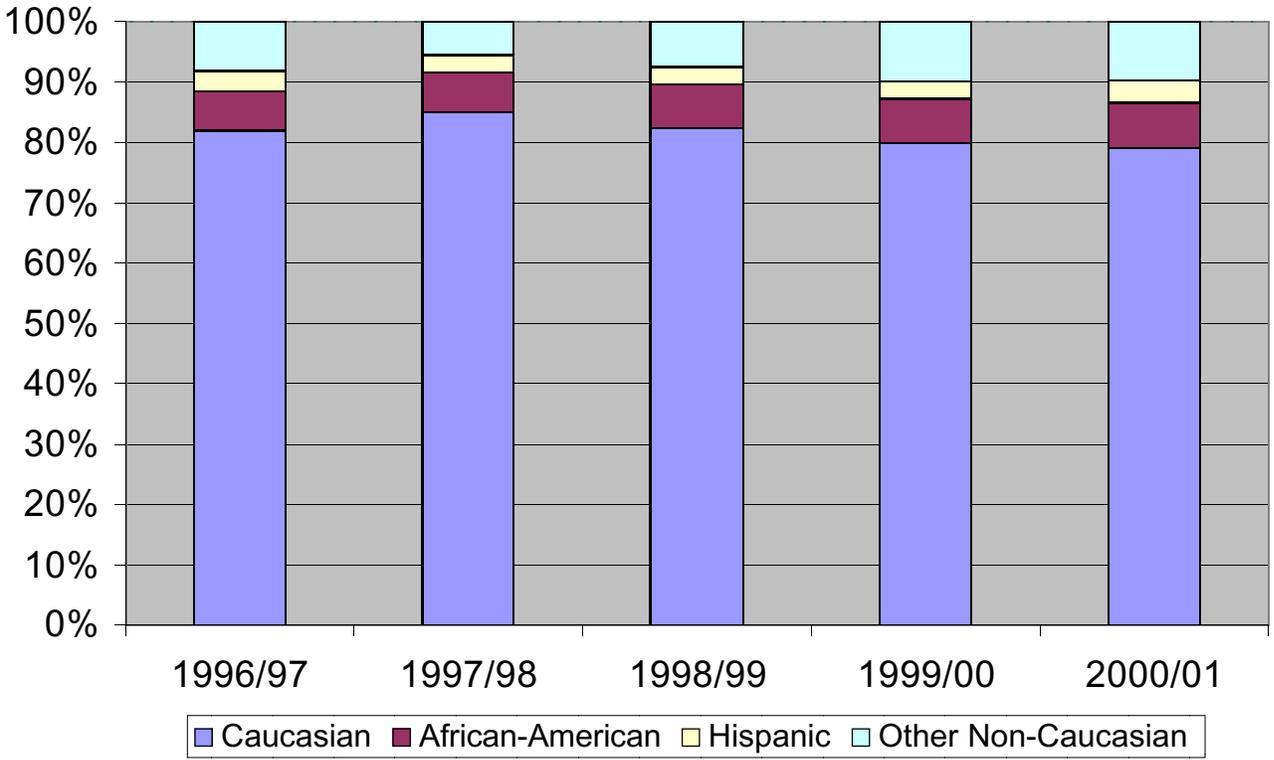
ANTIOCH UNIVERSITY ACADEMIC PROGRAMS

In academic year 2000/2001, Antioch University awarded 1,341 academic credentials. This included 293 bachelors degrees, 936 master's degrees, 33 doctorates, and 79 certificates[61]. The University continues to invest in library acquisitions, technology resources, and student services. In the past five years, Antioch University has added new degree programs, new certificates, and new tracks within existing programs. We follow with a brief overview of the academic programs of Antioch University at each campus. A more extensive presentation of the University Ph.D. in Leadership and Change follows in Chapter 7. This new program receives singular attention in this S*elf-study* because it represents a new direction for the University. Following the presentation of academic programs is a more detailed review and discussion of educational achievements and a general description of current assessment practices at Antioch.

Antioch College

In keeping with the mission and purposes of the University, Antioch College seeks to produce graduates able to commit themselves personally to working toward improvement of the human condition. The primary means of accomplishing this goal is through participation in a program that produces a unique blend of work and academic integration along with substantial responsibility for community governance and decision-making. Through this set of experiences, Antioch College seeks to produce leaders.

Following two consecutive terms of on-campus study, Antioch College students alternate cooperative work arrangements with off-campus employers with return trips to Yellow Springs where they resume their study and coursework toward completion of one of eight interdisciplinary majors. While in Yellow Springs they participate in a community governance system through which they take responsibility for the day-to-day operations of the campus and where they share equal voice with faculty, staff and other community members. This combination of study, work, and community involvement is intense, fully engaging, and challenging. Students who partake of this unusual undergraduate experience often develop a

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[61] *Detailed information regarding program enrollments and graduates may be found in the BIDs.*

deep sense of loyalty and connection to the institution. This sense of connection to community and institution often generalizes to life after Antioch and produces engaged members of communities, leaders, and innovative thinkers.

This form of undergraduate education comes at some costs as well. It is a demanding culture and curriculum that appeals to a select group of eighteen-year-olds and thus requires unusual recruiting resources. It demands an independent mindedness and maturity from its students not often found in many recent high school graduates. Because students spend considerable time away from campus, involved in challenging and engaging work, Antioch College has always struggled against higher-than-average attrition. The logistics of organizing a curriculum for students who are coming and going throughout their college careers is daunting. The governance structures are elaborate and time-consuming and often slow the decision-making processes considerably. Despite these challenges, students, staff, and faculty generally acknowledge that they are getting something here they could not obtain elsewhere and they value it highly.

Indications that Antioch College is achieving its purposes are detailed in the *Antioch College Self-Study*. They include an array of assessment data from multiple academic units; employer evaluations of student work; extremely high scores on the National Survey of Student Engagement for consecutive years; and historically, a high number of graduates that go on to complete Ph.D.s. In preparation for the NCA review and as a part of the University's academic review processes, the College engaged a group of faculty from peer institutions in the Great Lakes Colleges Association (GLCA) to review its undergraduate program[62].

Antioch New England Graduate School

Antioch New England Graduate School is the oldest of the non-residential campuses having just passed its thirty-eighth anniversary. It is the only Antioch campus offering exclusively graduate study. Through five departments, Antioch New England offers 16 master's degrees with multiple specializations within them, and two doctorates. The departments include

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[62] *The GLCA review of Antioch College, along with College responses to it, are available for review in the University Resource Room and in the College Resource Room.*

applied psychology, clinical psychology, organization and management, environmental studies, and education. There is also an interdisciplinary studies option that students may elect that combines content from two or more areas. The doctoral degrees include a Psy.D. that has been operating for twenty years and is APA-accredited at the seven-year, or maximum level. The Ph.D. in environmental studies is now eight years old. The master's degrees in psychology include counseling, substance abuse counseling, dance and movement therapy, marriage and family therapy, and clinical psychology. Management offers a masters of science, a master's in human services administration, and a master's in education with or without certification. Along with its doctoral offering, the Environmental Studies Department offers a master's of science with four specializations. The Education Department offers master's degrees in elementary and/or early childhood, and in educational foundations.

There exist several concentrations within each of these degree programs. All of these degree areas have obtained specialized accreditations from their professional accrediting authorities. Each department conducts assessment of student achievement as well as faculty and program performance. Like all Antioch campuses, New England stresses theory and practice, blending work, in the form of internships, practicum, service learning and civic engagement, with study and scholarly accomplishment. As a longer established campus within the system and focusing entirely on graduate study, ANE's mission includes research and scholarly productivity to a greater extent than the other campuses. ANE generates more contract and grant activity than any other campus.

Antioch University Southern California

AUSC consists of two campuses – one in Los Angeles and one in Santa Barbara.   It was created as a single administrative unit within the University in 1986 by President Guskin as part of initial re-organization efforts. The two campuses in the Region share a common Mission Statement, general approaches to programs, some common administrative personnel, fiscal guidelines, and overall leadership through the Office of the President. Although the campuses exercise considerable independence, they share most program offerings (with individual differences based on local needs). These programs include a BA degree-completion program in liberal studies and master's degrees in clinical psychology, organizational management, and

education. An individualized concentration at the master's degree level also is offered by each campus for students who desire advanced, non-clinical training in psychology. In addition, the Los Angeles campus offers an MFA degree in Creative Writing as well as a certificate in the teaching of creative writing.

Assessment efforts are coordinated through assessment bodies at each campus and are led by the respective Academic Dean. The Los Angeles Assessment Task Force was instituted in 1994 and is composed of faculty representatives from each program (normally the Program Chair). This Task Force meets regularly with the Academic Dean and provides cross-program leadership to assessment efforts at the Los Angeles campus. A portion of a Core Faculty member's job description also is devoted to assessment efforts, and this person chairs the Task Force. At the Santa Barbara campus, the Assessment Task Force is composed of faculty from each program and meets regularly with the Academic Dean for discussion of assessment issues and implementation strategies. By incorporating the responsibility for assessment leadership into the job descriptions of the Academic Deans, assessment awareness has been raised at each campus and has become a routine part of what the Academic Deans and the faculty do in fulfilling their responsibilities at the institution. A broad array of assessment related materials is available in the Resource Rooms at each campus.

Antioch University Seattle

Antioch University Seattle offers a BA degree in liberal studies that may be obtained with a teaching certificate. In 2001, AUS reorganized its departmental structure into three "Centers," each housing several programs. In addition to the Centers, the BA in liberal studies stands alone. The Center for Creative Change includes master's programs in environment and community, organizational psychology, whole systems design, and management. The Center for Programs in Education houses a master's degree for experienced educators, and a graduate teacher's certification. It also offers the teaching certificate in conjunction with the BA in Liberal Studies. The Center for Programs in Psychology has four degree programs including art therapy, couples and family therapy, integrative studies, and mental health counseling. Most programs have capstone projects and many include service-learning components. Several of the offerings are

targeted to historically underserved populations. All attempt to link theory with practice. In addition to uniform evaluations and assessments of teaching effectiveness and program review, each program assesses student learning outcomes. Antioch Seattle has established a standing assessment committee that reviews progress and reports to the president.

Antioch University McGregor

The newest of the Antioch adult campuses is Antioch University McGregor, formerly the McGregor School, and before that, the School of Adult and Experiential Learning. Antioch McGregor has six degree program offerings, one of which is an undergraduate degree completion program. The other five include the IMA (individualized master's degree), the MA in Conflict Resolution, an MA in Management, a teacher licensure program, and an MA in Educational Leadership. Antioch University McGregor enrolls students from across the country but as much as 60% of the campus enrollment comes from the Miami Valley and Dayton area. The school caters to adult students most of whom are working and bring considerable work and life experience to the classroom. McGregor was one of the pioneers nationally in weekend college programs and continues to offer innovative formats and flexible programming. As providers of education for adults, McGregor's mission is to provide intensive experiential courses that emphasize dialogue and involvement and ignite and sustain a passion for lifelong learning. The programs utilize a range of traditional and less traditional assessment practices with many programs conducting analyses of portfolios and inclusion of capstone courses.

ASSESSMENT PRACTICES ACROSS THE UNIVERSITY

University Plan: Goal Five – Comprehensive Assessment

Antioch University takes a three-tiered approach to on-going assessment of progress toward institutional goals. The first is a set of institutional progress indicators completed annually by each of the University's campuses. The annual *Indicators of Progress* is based on six University priorities adopted by the Board of Trustees in 1991. They include:

1) Indicators of the University's tripartite educational model of academic excellence, experiential learning, and community participation and service.

2) Indicators of student, faculty, and programmatic content diversity.

3) Indicators of academic innovation and experimentation.

4) Indicators of the University's impact on society.

5) Indicators of fiscal health.

6) Indicators of quality of life for students, faculty and staff.

The *Indicators of Progress* for the last six years are available for review in the University Resource Room.

The second area of data collection, and quality control and improvement, is program review. The University's *Academic Program Review Policy* was adopted by the Board of Trustees in 1994. The policy calls for regular periodic review of all Antioch academic programs. The policy outlines a peer-review process that begins with the collection of program information. The program faculty responds to a standard series of university questions concerning educational program goals, program strengths and weaknesses, and measurement of student achievement. The four-person program review committee (consisting of an academic dean, 1-2 external members to the campus, and one faculty member from the campus) may add questions that are tailored to the particular program under review. The committee then reviews all materials and conducts a three-day site visit that may involve review of additional materials and documentation, interviews with faculty, administrators, staff, students, and alumni.

At the conclusion of the visit, the team chair produces a report that documents the findings and recommendations of the review team, which is then shared with program faculty and the host campus academic dean in an exit interview. The campus president or dean will consult with the faculty and provide a response to the report recommendations outlining steps to be taken to improve the program. Finally, this statement, along with a copy of the report, is shared with the Academic Affairs Committee of the Board of Trustees. These reviews have resulted in support of current progress and, in some cases, significant modifications in program design and delivery. In one instance a program was discontinued following the review process.

It was determined that each Antioch degree program would be reviewed once between the 1993 and 2002 team visits[63]. Note that when programs are required to undergo a specialized accreditation review, they are exempted from the regular University peer-review process. Antioch College, whose undergraduate curriculum is reviewed as a single program, requested an alternative review by a team composed of faculty from peer institutions in the Great Lakes College Association (GLCA) to which Antioch College belongs. This is allowed for in the policy and was granted. All of Antioch New England Graduate School's programs undergo separate specialized reviews.

The third piece of Antioch's three-tiered self-evaluation is assessment of student learning outcomes. Practices employed in the assessment of student learning outcomes are more variable than those for programs or progress indicators. Variation in campus culture, content area, graduate vs. undergraduate, course-based and competency-based, and other factors all contribute to higher variability in practice. Consequently, much student outcome assessment is local, faculty-generated, and diverse[64]. As part of the self-study process to gauge assessment activity, a University-wide survey was distributed to campus assessment coordinators or other designees during winter 2001/02. On some campuses, surveys were responded to by the standing committee. This instrument requested narrative responses to 43 questions from each campus[65]. Responses are summarized below.

In recognition of the diversity of programs and assessment approaches, the University implemented an assessment policy in 1992 to enforce some uniformity in assessment purposes and goals. This policy 1) requires each University program to implement an ongoing process of assessment that is grounded in and follows from Antioch's distinctive mission; 2) identifies skills, knowledge, and perspectives expected of students; 3) requires use of multiple measures to assess learning; 4) requires that assessment activity be incorporated into program and budget

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[63] *See Academic Program Review Policy in the University Leadership Council Policy Handbook, University Resource Room. Program review reports are available for review in the University Resource Room and respective campus resource rooms.*
[64] *One exception to this is the National Survey of Student Engagement survey that Antioch College participates in, which allows for percentile comparison with a larger external peer group.*
[65] *Available in the University Resource Room.*

planning; and 5) corrects identified program weaknesses and maintains strengths. The survey mentioned above served as one indicator of compliance with this policy.

Assessment of student learning and program review overlap. Program reviews consider student outcome assessment, including effective planning, implementation, and use of data, as an important component of program effectiveness. In 2000, the Program Review Policy was amended. Prior to June 2000, the program reviews required only that the program director describe assessment practices, comment on effectiveness, and discuss any future plans. In all program reviews since June 2001, program directors now also submit the most recent cycle of assessment data, a narrative analysis of that data, and proposed changes, if any, resulting from the analysis of the data. This permits the program review team to make determinations about the extent of progress and/or needs of program faculty with respect to assessment.

Detailed descriptions of local assessment practices in place on campuses may be found in the campus self-studies. A summary of findings from the University-wide survey of Antioch's assessment progress appears below and provides a general indicator of University-wide progress in assessment implementation. Individual program reviews also include additional evaluation of assessment practices.

NCA Concerns Regarding Assessment

At the time of the 1993 review, all three of the evaluative data collection procedures described above – Indicators of Progress, Program Reviews, and Assessment of Student Outcomes -- were in place, but some were only very recently begun and limited data and progress were available. The NCA review team gave high marks to the Indicators of Progress and Program Reviews as mechanisms for monitoring and evaluating institutional progress and achievement of purpose. The team noted that these two approaches "both represent a systematic approach to continuous improvement." Regarding the third element, assessment of student learning outcomes, the team made the following observations:

> What the team found lacking, however, was a set of assessment plans specific and complete enough for each campus to assure the development of a systematic, articulated process connecting mission statement, program outcomes for student achievement, course outcomes, and standards for levels of achievement. (p. 41) The Antioch University general assessment

plan carefully specifies requirements for a program on each campus to assess student academic achievement. The individual campus plans all show some movement toward a systematic process to develop such a program. They make clear that on each campus there are in place significant mechanisms for assessment, as well as collected samples of student performance. However, the individual plans are uneven in regard to specificity and completeness. They do not clearly show how existing discrete elements will be incorporated into a coherent, faculty-owned process based on articulated goals and standards that distinguish required levels of performance[66].

The review team recommended that

…in the area of assessment, the University needs to build on the work it has in place and the raw data it has in hand….More complete assessment plans need to be in operation before the next recommended NCA visit (2002 –2003). Hence the University is to file by 15 January 1995 for each campus an assessment plan that successfully meets all five of the components enumerated by the North Central Association[67].

Actions Taken

In the Fall following the NCA visit, Antioch formed a university-wide Assessment Task Force composed of the academic deans and/or a faculty representative from each campus. In November of that year, the Task Force invited Dr. Georgine Loacker from Alverno College, who served as a reviewer during the 1993 visit, to provide technical consultation and advice on the further development of assessment plans for the campuses. In addition, Dr. Loacker provided specific feedback on existing plans for each campus.

Subsequent to this work with Dr. Loacker, the University Policy Council, with members of the Task Force, created a timeline for plan development and coordination of institutional efforts. A full report of assessment activity was made to the Academic Affairs Committee of the Board of Trustees, and the Task Force continued to facilitate campus efforts to comply with the University Assessment Policy.

In the Spring of 1994, in conjunction with the Antioch University Faculty Conference, an all-day workshop was held with Dr. William Moore, Director of Outcomes Research and Analysis for Washington State's Community College system. Over 40 Antioch faculty

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[66] *Report of a Visit, p. 51.*
[67] *Report of a Visit, p. 56.*

representing all campuses attended the workshop. The primary focus of the workshop was assessment of experiential learning, an aspect of all Antioch programs.

These efforts and activities resulted in detailed plans for the implementation of assessment activity on each of the campuses. These plans were submitted to NCA in January of 1995[68].

Assessment of Current Activity

Through the self-study process in preparation for this comprehensive evaluation, all Antioch campuses have reviewed progress toward assessment goals relative to both University policy and new expectations put forward by the Higher Learning Commission.
With respect to University policy, the campuses have considered the clarity of programmatic goals and objectives and their connection to the University and campus mission statement; measures in current use; use of data in program planning and budgeting; and on-going regular evaluation and revision of assessment plans and products.

In a broader sense, using the NCA Levels of Implementation as a general guide only, we have considered the extent to which assessment has been institutionalized within the University culture; the degree to which the responsibility for assessment is shared by campus constituents including administrators, faculty, staff, and students; the degree to which resources have been made available in support of assessment activity; specific organizational structures that have been put in place to sustain assessment; and the overall effectiveness of the assessment plans and programs in bringing about programmatic and institutional improvement. Each campus, through an assigned assessment coordinator or with the input of assessment committees, responded to a 45-item questionnaire[69] concerning their progress on assessment. Responses are summarized below.

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[68] *The 1995 plans are available for review in the University Resource Room.*
[69] *Available in the University Resource Room.*

Campus Survey Responses

Culture. Antioch University is firmly committed to comprehensive and meaningful feedback on performance that benefits students, employers, and teaching faculty. The Antioch University culture has historically been resistant to practices of grading and evaluating that were traditional, norm-referenced or comparative. The faculties of Antioch's campuses have been in agreement that symbolic letter and numerical grades do not adequately accomplish their evaluation goals, and so, adopted narrative forms of evaluation, which became University policy in 1991. This predisposition toward narrative evaluation contributed to skepticism of any assessment activity that makes use of checklists, ratings, comparative data, or evaluative information that was not adequately contextualized.

During the early 1990s, the faculties began reading and educating themselves about assessment activity. By the mid-1990s, the job descriptions of faculty, program heads, and directors were altered to include assessment responsibilities and expectations. Assessment language and clear expectations for assessing student learning now appears in the University and campus strategic plans and other policy documents. In addition to assessment of student learning outcomes, several campuses have focused assessment activities on surveys of the currency and relevance of their program offerings, surveys and studies of multicultural attitudes, services, and competencies, and on one campus, overall student services.

All programs and departments across the University now have clearly stated learning goals and objectives that tie in directly with the University mission. Measures, approaches, and emphases vary considerably and are anchored in local concerns and circumstances. Two campuses have standing assessment committees with designated coordinators or chairs who receive stipend support or release time. Other campuses assign this activity to the academic dean or a standing curriculum committee or sub-committee. Since at least 1999, assessment has been prominent in campus-based discussions of course offerings, program development, and degree requirement revisions and emphases.

Shared Responsibility for Assessment. Understanding of assessment practices, techniques, and procedures has improved throughout the University compared to ten years ago. All acknowledge,

however, that additional professional development opportunities are needed. Assessment goals enjoy support from faculty; there is buy-in on the value of assessment activity and data, and minimal resistance to assessment efforts. There is also near unanimous agreement that senior administrative officers advocate and support faculty efforts and advancement of assessment initiatives, but also that resources and material support have lagged. This has sometimes compromised follow-through.

Each campus is able to identify some local expertise among its faculty and indicates that this expertise is shared through both formal and informal channels. Additional expertise and professional development are needed. Shortage of resource support for professional development is a recurring theme in campus responses. One effect of this is that there is little added incentive to engage in assessment work that competes directly with support for other professional development needs and interests. Incentives such as summer study stipends and funding to attend assessment conferences are not available. In the absence of such forms of material support, activity and interest level becomes more localized and variable across departments and programs. Mechanisms have been put in place to better regularize assessment activity at the local level including scheduled reviews of plans and sharing of data within the campus community.

Antioch students learn about assessment through orientation programs, as part of data collection, and following program changes and improvements. To date, however, Antioch generally has not effectively involved students in planning assessment activity. Students have had some participation on assessment committees, but with varying success.

Resources. Each campus has devoted limited funds and some faculty and staff time to support efforts to coordinate and monitor assessment. Beyond this, specific budget lines are not earmarked for assessment, unless programs elect to direct program development funds toward this activity. There has been support for consultants and conference attendance in the past, but in recent years, given competing budgetary demands, no campuses report having set aside funds specifically for assessment-related professional activity and development. In many instances, assessment results are fed back to budget planning committees, who will use that information in their deliberations. On some campuses, deans do have the authority to allocate funds for assessment, and have done so from time to time.

Organizational Structures. Each campus has a calendar in place that tracks assessment activity on the campus. As mentioned, coordinators, deans, or committees are designated on each campus to encourage, track and hold others accountable for assessment activity and effort. Collected data is archived on each campus, either within programs or departments or in a more centralized fashion. This data is reviewed and program modifications identified and implemented. Regularly scheduled program reviews include evaluation of assessment for that program.

Efficacy. A sampling of assessment-driven program improvements includes:

- Changes in the curricular sequencing in the Seattle BA program
- Enhancement of the Seattle writing component across the curriculum
- Additional multicultural content and perspectives across the Seattle curriculum.
- The MA psychology program in Los Angeles increased coverage of theory following an analysis of student exit interview data.
- The Los Angeles advising process was modified following a student retention/attrition survey.
- At the Santa Barbara campus, the BA program revised its foundations course and created portfolio and capstone courses based in part on information obtained through assessment activity.
- Changes were made in the teacher preparation sequence in Santa Barbara following data collected during student teaching.
- At Antioch McGregor, the Conflict Resolution program added a capstone course and developed improved methods for assessing portfolios in two programs following a program review.
- Addition of new courses in every academic department at Antioch New England.
- Development of an environmental organizing and advocacy track at Antioch New England.
- Conduct of a diversity audit at ANE led to revising reading materials with all programs to reflect emphasis on multiple and diverse "voices" and perspectives.
- Enhanced use of technology to accompany delivery option changes at Antioch New England.

- Ongoing modification in summer offerings at Antioch College result from continuous assessment of students and faculty. Recent changes include diversifying the range of summer offerings, changes in summer academic advising, invitations extended to visiting writers and theatre artists, and involvement of alumni. These changes have contributed to increased enrollments in summer courses and institutes.
- Multiple course offerings during the regular academic terms at Antioch College have been modified following assessments. Examples include the Introduction to Multicultural Literacy in the Literature, Languages, and Culture major; a new course in the Arts Major, Introduction to Theatre: Performing Community; and greater emphasis on quantitative reasoning in introductory courses in the Social and Global Studies major.

Evaluation of curricular modifications occurs formally at the time that the program undergoes an internal University program review, and more informally through on-going departmental monitoring. Those responsible for monitoring assessment activity on each campus reported in winter 2001/02 that the level of activity, use of assessment data, and implementation of assessment-driven educational improvement was highly variable across programs on their campus. Where assessment plans are weak or programs are struggling, most campuses have resource people in place in the form of committees or coordinators to work with those weak areas.

The vast majority of programs on campuses report assessments with units of analysis above the level of the single classroom. Similarly, most use multiple measures. Both direct and indirect measures of learning are utilized. Campuses vary also in terms of how student's learning successes are celebrated and highlighted. At least two campuses reported that there is not nearly enough celebration of success on their campuses and this was an area they hope to improve.

Summary and Recommendations

Those who responded to this survey were clear in pointing out that they are operating in a resource-poor environment and that much of what has been done and will be done in the future is low-cost, embedded in existing practices and programs, and constrained. Clearly, in looking toward the future, increasing resource allocation would go a long way toward shoring up existing efforts and meeting some of the identified needs. Several faculties felt that more faculty learning and study was needed on their campuses. They identified the need for regular forum sessions with occasional full-day opportunities for faculty to focus on and consider this aspect of their work in depth. Use of outside speakers and expertise is valued, as is networking with other institutions and consortia to build skills and understanding. In some instances, there is a need to get a greater understanding of faculty strengths and weaknesses in order to focus these efforts strategically. Some additional funding for release time would go a long way.

An unexpected outcome of this survey exercise was the recognition that the campuses could be doing much more to involve and inform their students of assessment activity. There has been a tendency to think of assessment as something that is done to and for students, but not in planning partnerships with them. In addition, not much thought has been given to the explicit and implicit messages faculty are giving or should be giving students about the purpose and place of assessment in their education.

Several respondents would like to focus more attention on assuring that key administrators have sufficient background and training. Though assessment responsibility is now included in job descriptions, it should be reviewed, given higher priority and clarified. Administrators should be more collaborative partners in assessment efforts.

Finally, with respect to assessment methods, there were cautionary notes stressing the importance of utilizing practices which are built from the ground up around learning outcomes, not externally imposed top-down practices. Others maintained that awareness of whole person, constructionist methodologies and individuality should always be part of assessment practices at Antioch. Some stated the importance of vigilance against number-crunching approaches, and the need to keep Antioch values at the center of assessment practice.

UNIVERSITY-WIDE STRUCTURES AND ACTIVITY
IN ACCOMPLISHMENT OF INSTITUTIONAL PURPOSE.

With the decentralization of University administrative functions beginning in 1994 Antioch's campuses began to function with a higher degree of campus initiative than under the earlier centralized administrative system. Day-to-day operational functions and decision-making became more localized and the campuses were charged to take control over their own planning, budgets, programs, fundraising and future. As the campuses have matured over the last decade, the question arises – what makes Antioch a University as opposed to a loose confederation of somewhat similar campuses? This question is more than academic and is of interest to alumni, accreditors, and campus constituencies. Answers exist at the levels of mission and values[70], financial structures and arrangements[71], governance[72], academic programming[73], and at a more practical operational level as described below.

Each of Antioch's campuses maintains active systems of governance to address curriculum, programs, and day-to-day needs and operations. University governance takes place at the University Leadership Council made up principally of campus presidents, vice-chancellors for finance and development, and the chancellor. The ULC recommends to the Board of Trustees through the chancellor. The single University Board is the final governing authority for the University as a whole[74]. The leadership council, primarily at the direction of the presidents, identifies needs, works at problem solving, and pools resources and expertise to the benefit of the University as a whole. Below are examples of University activities, and taken together, provides one set of answers to the question – 'what makes Antioch a University?' The campuses of the University engage with each other in cooperative enterprises and initiatives and consult with each other on an on-going basis.

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[70] *See Chapter 3.*
[71] *See Chapter 5, Part IV.*
[72] *See Chapter 4.*
[73] *This Chapter.*
[74] *These operations are fully described in Chapter 4.*

Cooperation

- Each year, the presidents and chief financial officers work together to develop the annual operating budget for the University as a whole, which they then recommend to the Board of Trustees at the annual June meeting.

- Through retreat and annual business meetings, the ULC comes to agreement on University priorities, which then become part of the planning and budgeting of each campus.

- Introduction and implementation of Datatel, a University-wide integrated system for accounting, budgeting, human resources, admissions, financial aid, registrar and student accounts; as well as FirstClass software communications system on all but one campus.

- With the introduction of the University technology plan in 2000, the campuses are working together to pool resources, plan jointly, and acquire and build technology resources in a cost-effective and sustainable manner (Antioch New England, Antioch Southern California, Seattle, and the University-wide Ph.D. program now outsource First Class administrative support to the same company, "What if?" of Portland, Maine).

- Through the leadership of the ULC, a University Plan was developed and approved in 1999.

- Academic deans from across the University coordinate and oversee the review of all academic programs and development of University-wide academic policy.

- Through coordination by the presidents and academic deans, new program development is organized, reviewed, and recommended to the Board.

- With oversight from the ULC, publications and public relations efforts for the University are developed and funded.

- The deans and presidents oversee the funding and allocation of monies for new programs through the University Innovation Fund (see below).

- The development of the Ph.D. in Leadership and Change was a University-wide collaboration that draws on resources from all campuses in its implementation including library support (Antioch New England), financial aid (Antioch University McGregor), and registrar consultation (Antioch University Seattle).

- Thirty faculty from four campuses collaborated recently in training for on-line teaching and course delivery.
- Representatives from each campus and the University chancellor's office collaborate every 12 to 24 months on the organization of a University-wide faculty conference.
- Beginning in 2001, the Olive Kettering Library at Antioch College began the process of adding Antioch McGregor, Southern California, and Seattle to their database subscriptions allowing them to access OhioLink resources on-line.

Consultation. As circumstances arise, campuses share expertise and consult with each other on a wide variety of issues and functions. Some examples from recent years include:

- Antioch Southern California consulted with Antioch New England and Antioch University Seattle in the development of its teacher certification program.
- Presidents from Antioch New England and Antioch McGregor served in a consulting capacity with the faculty in Seattle on governance matters.
- Three campuses (New England, Seattle, and Los Angeles) consulted with McGregor to further develop and improve registrar operations.
- Antioch New England collaborated with Antioch Education Abroad in the development of a Brazil trip for environmental studies.
- Staff at Glen Helen Nature Preserve consulted with environmental studies faculty at Antioch New England on educational curriculum and activity.

Antioch has sought to strike a balance between local campus control of operations and University-wide institutional integrity. Campuses function more smoothly when they have local control over day-to-day operations such as payroll, registrar, marketing, and hiring. University integrity is maintained through effective communications, shared decision-making, and institution-wide planning and budgeting. Campuses develop and administer their own budgets, but those budgets are reviewed by the presidents from all campuses and then approved by the University Board of Trustees. Each campus has a fulltime chief administrative officer, but that officer reports to the University chancellor and is accountable to her peer presidents. Each campus is empowered under Board policy to initiate and sustain its own academic programs, but those programs only receive Board approval after approval by the full contingent of academic

deans across the University, and by the presidents through the University Leadership Council. Programs, once approved, are reviewed through a University process with University participation. Each campus is authorized to grant degrees in the state in which they reside. This balance of responsibility and authority is dynamic and renegotiated from time to time. *As a University, Antioch maintains that the whole of the University is greater than the sum of its parts, and through the University structure each campus is stronger than it would be were it to stand alone.*

Chapter 7

New Directions: The University-wide Ph.D. in Leadership and Change

Introduction

At present, the Ph.D. in Leadership and Change is Antioch University's only University-wide program. All other Antioch degree programs described in the *Self-study* reside at one or another campus. Besides its unique position within the University's organizational structure, this Ph.D. program is distinctive in many other ways: it offers an interdisciplinary and rigorous core and individualized curriculum designed for non-traditional doctoral students (working professionals) and it is delivered as a low-residency networked model that utilizes technology to complement peer and individualized learning. The program is based on an annual term, with three pre-candidacy years, and credit is awarded for the demonstration and mastery of learning rather than "seat-time" in classes. Program offices are in Yellow Springs, Ohio, while faculty and students live and work across the country, coming together quarterly for learning residencies held at the various Antioch campuses.

Materials in on-site resource rooms provide in-depth information on the program's curriculum, faculty, students, learning goals and assessment, and organizational design. This chapter, as part of the University's *Self-study*, primarily details the program's unique position within the University system, how it addresses the University's mission and represents a major step in the University's organizational maturation; and finally, the chapter provides a general overview to the program's curriculum and delivery model. The chapter is divided into four parts: (1) History, Mission and Underlying Principles; (2) Program Design and Delivery; 3) Assessment; and (4) Looking into the Future.

I. History, Mission and Underlying Principles

History: The idea for a University-wide doctoral program in leadership first emerged from discussions initiated by a University-wide Innovation Team (19 Antioch University faculty leaders and academic deans) that met from 1995 to 1997 and was funded by a $250,000 grant from the Pierson-Lovelace Foundation. Out of that initiative, a Ph.D. planning process began which included focus groups of potential students, an analysis of likely competitors,[75] and extensive discussions with the University Leadership Council (ULC) as well as the Academic Deans' Sub-Committee of that body. An initial proposal was discussed at the April and then

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[75] *See Planning Documents in the University Resource Room with Ph.D. documentation.*

June 1998 meetings of the ULC, and with the University's Board of Trustees in June 1998. At that June Board of Trustees meeting, a resolution was approved to establish this Ph.D. program contingent on securing the necessary approvals.[76] The Director was hired in mid-September 1999, after the University received a $500,000 three-year gift to support the program's development and implementation.

Between September 1999 and September 2001, the Program Director worked in consultation with a team of academic consultants, faculty, and staff (a staff administrator was hired in October 1999), to develop the curriculum, learning outcomes and assessment, to establish administrative and student support functions in coordination with the rest of the University, to field and respond to inquiries, and to prepare for authorizations and approvals.

Throughout this period, the Chancellor's Office maintained regular contact with NCA, informing it of the program's progress as the University sought the necessary approval from the Ohio Board of Regents. All materials developed for that approval process were forwarded to NCA. Provisional approval from the Board of Regents was secured in September 2001[77]. NCA agreed that its review of the program would occur as part of the University's regular accreditation process. In addition, all appropriate education agencies in the states where the program holds residencies were notified of the program and approval to operate was secured. The Ph.D. in Leadership and Change admitted its first cohort of students in January 2002.

Mission. The Ph.D. in Leadership and Change fulfills the mission of Antioch University in important ways. As the mission states (see Chapter 3), the University is committed to developing the qualities of responsible leadership in its graduates and confirms that Antioch degree programs are built upon the philosophy that learning is most powerful when it is student-centered and integrated with direct work experience. Thus, the Program complements the strengths of traditional Ph.D. education including research training and academic preparation at the highest level, professional experience, and reflective practice. The University's goal of responsible leadership that fosters productive democratic change is realized through the

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[76] *The resolution is included in the Resource Room.*
[77] *Documentation in the Resource Room.*

Program's requirement for the design and implementation of a real-world change project, as well as through the curricular emphasis on applied research and on the social context for the examination of leadership theories and strategies. The Ph.D. program, with its Core and Individualized Curriculum, and its required experientially based Organizational Change Project and research-based Doctoral Dissertation, follows a flexible, intensive residency, cohort-structured format, and a non-graded, competency-based evaluation system that represents the fulfillment of student learning through experimentation, another goal of the University's mission.

Finally, the Ph.D. program also represents Antioch University's current stage of institutional development and strategic planning. The University Strategic Plan identified the following relevant priorities: enhance the national visibility; increase and diversify the student body; broaden program offerings including University-wide offerings; and, recruit and retain highly qualified faculty. In addition, the University's own self-study goal is to explore doctoral-level development and capacity in the University. The Ph.D. program addresses all of these University priorities and goals.

Relationship to Antioch University. As a University-wide degree, the program utilizes resources within the University system in new and effective ways, making available to non-residential doctoral students the best University services without duplicating institutional overhead. Thus, comprehensive graduate research library services are provided by the graduate library at Antioch New England Graduate School. Financial aid services are provided by the Financial Aid Office at Antioch University McGregor. While the Program operates its own registrarial systems and procedures, it engages the services of one of the University's senior registrars to audit the program's student records and files at the Yellow Springs program office. The University's central financial offices oversee the program's student accounts. The campus of Antioch College and Antioch University McGregor serve as the site for the weeklong annual summer residency, and the program's main office is located in the University Kettering Building in Yellow Springs, Ohio. Finally, in terms of faculty, the program's full-time faculty are employed solely by the Ph.D. Program, and have been hired and retained by the Ph.D. program as the result of national searches; however, many mentor faculty (who work with particular students on their

individualized learning plans and are contracted per student), come from many of the Antioch campuses where they are employed as Core Faculty.

This structure may seem complex, but it is consistent with the growing trend towards geographically dispersed, technologically networked organizations. It is also well-suited to the twenty-first century reality of the Internet and the adult student population, which is composed of individuals who reside in all parts of the United States and possibly overseas, who work fulltime, and who utilize the Internet and other computer technologies on a daily basis. And, it is particularly opportune for a nation-wide university that desires to maximize its national visibility and optimize its cost efficiency by holding overhead costs in check.

Educational Principles. In addition to Antioch's historic mission of academic rigor, experiential learning and social responsibility, much of the national discussion on re-thinking doctoral education is also relevant to the framing of Antioch's Ph.D. in Leadership and Change. Of the many national conferences, papers, and foundation explorations that have focused on this question for the past several years, consensus among stakeholders is forming around several key recommendations. Among those that are most relevant to Antioch's program are the recommendations for:
- More professional options and career paths beyond those at research/doctoral universities;
- The need for more interdisciplinary study;
- The need for more reflection on personal and professional goals, engaged mentoring and systematic feedback;
- The need to encourage more opportunities for teamwork and collaboration.

Within this context, Antioch's Ph.D. in Leadership and Change is designed for working professionals who will understand and lead organizational change in their professions as reflective practitioners and engaged scholars. Understanding and leading change in the professions requires the essential elements of the scholar as professional: to be a reflective practitioner, to be responsible and act with integrity as one leads, and to be communal in one's learning, leading, and reflecting. In essence, our program posits scholarship is not site-bound nor

limited to the academy, and it believes that working professionals can, in fact, be working scholars in the best sense of that tradition and community.

The Ph.D. in Leadership and Change puts learning center stage as doctoral students work through a curriculum of cycles of scholarship, practice and reflection. Rather than standardized courses that may have little relation to what is actually learned, the program focuses on the demonstrations of the student's actual learning. Competency demonstrations in areas of the core and individualized curriculum replace courses as the building blocks of depth and breadth knowledge. Oriented towards balancing the student's intellectual passions with program standards and (inter)disciplinary interests, each competency requires familiarity with the field, a demonstration of the learning, and required reflection on the meaning of that learning.

Consistent with the national discussions on re-thinking doctoral education, this program views mentoring as a foundational concept. Mentoring is less about transmitting knowledge than about interlocking intellectual, personal, and professional relationships within a community of scholars in which knowing, experiencing and reflecting are questioned, constructed, and challenged. The program's entire design rests profoundly on mentoring in a collaborative environment whose primary focus is the students' learning and success.

The program is decidedly interdisciplinary, drawing primarily from the social sciences, management and education to focus on curricular themes that themselves cannot be reduced to a singular disciplinary vantage point. One of the most apparent examples of this interdisciplinary commitment is the composition of the Core Faculty team whose disciplinary homes are political science, counseling psychology, social psychology, communication studies, and adult education.

II. Program Design & Delivery: Curriculum, Faculty and Students

In order to address issues of learning and program assessment, it is necessary to provide an overview of the program's design. Based on the educational principles, organizational design and University resource sharing articulated above, the program's curriculum and delivery are characterized by a number of unique characteristics:

1.   The program focuses on the active adult learner who is a practicing professional. This will be addressed more fully in the section on students. However, based on the non-traditional student population for whom the program is designed, non-traditional services must be established for student success. Thus, the program's time, place, policies and procedures are designed to meet life and work demands of adult learners who are active professionals. Examples of this are: the flexibility of self-pacing one's learning within the program's structure and requirements; one-stop-shop student services via the program's electronic First Class desktop learning community; complete electronic graduate research library services; and automatic re-enrollment in year-long terms unless the program is otherwise notified. All program policies, procedures, guidelines are published in the annual program handbook[78], posted on the FirstClass desktop, and also available on the program's website[79].

2.   The program's course of study is structured around a common interdisciplinary core curriculum and a student-designed/faculty mentored individualized curriculum. The Core Curriculum is designed and delivered by the program's Core Faculty and focuses on two main areas – leadership and change, and research/inquiry skills -- and paces these curriculum tracks at different levels of intensity and sophistication over the three pre-candidacy years.   For each curriculum track, a set of learning goals with required student learning products and benchmarks has been established by the program[80].   Learning goals, criteria for demonstration of learning, learning products, and recommended timelines are all provided to students in the *Learner's Guide*[81].

An example of this curricular approach may be instructive. The overarching direction for the leadership and organizational change curriculum is that students become, or further develop, their abilities as reflective scholar-practitioners and, toward that end, the program intends that all students have a broad and deep understanding of and practical engagement with ethical and participatory leadership in the design and implementation of organizational change activities. The specific learning goals for this Core content area are:

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[78] *The Program Handbook is available in the University Resource Room.*
[79] *The website address is www. phd.antioch.edu.*
[80] *See Three Year to Candidacy Timeline in the Resource Room.*
[81] *Available in the University Resource Room.*

1. To understand the major theoretical perspectives in leadership and organizational change literature regarding:

   a. the complexities of organizational leadership at the beginning of the 21st Century;

   b. the rationale for and difficulties of creating new organizational forms; and

   c. the strengths and weaknesses of different organizational change strategies in relation to different organizational settings.

2. To apply major theoretical perspectives in the leadership and organizational change literature to real-life cases and to reflect on these applications.

3. To reflect and act on one's own ideas, analyses, values and personal and organizational interests in relation to issues of participatory leadership, new organizational forms and desired organizational change strategies.

The specific learning products required of students for the demonstration of learning in this core area include in the first year (1) a reflective leadership essay, (2) a case study, and (3) a leadership literature review; and in the second year, (4) an organizational change project.

Similarly, the overarching direction of the inquiry/research track is that students will gain an understanding of scholarly inquiry that is both practice-based and theory based, and will have the knowledge and methodological tools with which to carry out original research. Toward that end, the specific learning goals for this area are:

1. To understand and critique research and scholarly literature in leadership and organizational change.

2. To design original research that adds to the knowledge base of one's own field.

3. To reflect and act on one's own ideas, analyses, and values as a researcher-practitioner.

The learning products required for the research track over three years include (1) a mini-prospectus; (2) a research methods literature review; (3) a research redesign essay; (4) a Dissertation Proposal, and (5) a Dissertation.

Where possible, the two core curriculum tracks complement and integrate with each other. For example, student study ethics in research which is as applicable to the mini-prospectus as to their organizational change project. Another example, is the end-of-first-year leadership literature review, which serves both to demonstrate the student's familiarity with the breadth of leadership literature and, at the same time, to demonstrate the student's familiarity with research methods.

The other major axis of student learning revolves around the Individualized Curriculum, which is developed by the student in consultation with the Mentor Faculty to address the criteria and requirements of the Individualized Learning Plan and Individualized Learning Agreements[82]. The Individualized Curriculum begins at the end of the second year with the development of the Individualized Learning Plan, which offers the student the possibility to study in-depth areas in which s/he desires content expertise. It is expected that these areas will focus on his/her profession and professional practice.

A brief description of the learning products in the core and individualized curriculum can be found in the Resource Room.

The Ph.D. in Leadership and Change is designed on an annual term basis. Thus, the units awarded are calculated as annual units, not quarter or semester units. In terms of an equivalency between these calculations, annual unit equals one semester hour. To follow this calculation more fully, one semester hour is generally equivalent to 15 in-class hours and 30-45 study hours for a total of 60 hours per semester hour.   This is a 63-annual unit program (equivalent to 63 semester hours).

3. Student learning is anchored in four intensive face-to-face residencies per year during the three pre-candidacy years, and a cohort-based pro-seminar that holds students together during inter-residency periods.   The residencies, meeting quarterly and held at various Antioch campuses, include orientation workshops, one-on-one and group advisor/advisee meetings, and

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[82] *See Learner's Guide in University Resource Room.*

seminars addressing the core curriculum in a variety of formats, from lecture, discussion, and deep reading to hands-on experiential learning[83]. Some residency sessions are open to all students from all cohorts, whereas other sessions are more appropriate to students at a particular point in their learning process. While attendance at 12 residencies during the three pre-Candidacy years is required of all students, these residencies are not, themselves, credit-bearing. A record of attendance is maintained in the student's official file. All Core Faculty attend and participate in all residencies.

The cohort-based Pro-seminar is conceived of as required learning activity in which students discuss, integrate and make meaning of their learning. The Pro-seminar is rooted in the core curricular themes and its purpose is (a) to prepare students for upcoming residencies and to 'debrief' students from residencies just past; (b) to expose the students to the variety of learning tools that they will be using throughout the curriculum; (c) to deepen the student's experience of the learning cycle (activity, reflection, learning, application); and, (d) to create an environment of self- and group-initiated learning experiences. Each year of the Pro-seminar emphasizes one of the three curriculum themes – reflective learner, reflective practitioner/leader, and reflective scholar. The Pro-seminar experience is achieved through synchronous and asynchronous learning formats. In the *synchronous* environment students participate in faculty-facilitated group discussion and student-only group discussions during each day of the program residencies. In the *asynchronous*, on-line environment FirstClass software is the primary interface for student contact.

4.   The program is competency-based, not course-based. This means that students demonstrate competency (i.e. mastery) in Core and Individualized learning areas based on established learning goals and criteria for satisfaction of these goals. Standards to which the learning must aspire are rigorous, appropriate for doctoral level, and are clearly articulated by the Program from the outset. Credit is awarded upon the student's successful completion of the demonstration of competency (i.e. mastery) of the learning areas. All learning products are evaluated by two faculty, the faculty content area expert and the student's Core Faculty Advisor.

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[83] *Sample residency schedules are included in the Appendix. A complete set of residency schedules will be available in the Resource Room.   Pro-seminar syllabi are also available in the Resource Room.*

While the first evaluator reviews the learning products to determine if the work satisfactorily demonstrates mastery of the learning goals, the second evaluator, the Advisor, evaluates the learning product in terms of the student's intellectual and scholarly development over time. Faculty complete the evaluation of a student's learning product and submit it electronically to the Registrar's Office and to the student simultaneously[84]. In addition, the Portfolio for Advancement to Candidacy is reviewed by two program faculty as well as external faculty. The Dissertation Committee includes four members, one of whom may be from outside the program.

5.   The program promotes a culture of mentoring in which students initiate their learning in collaboration with Faculty Advisors and a network of approved Mentor Faculty, and in which faculty collaborate fashion to support student learning.   Learning is primarily student-initiated and faculty-mentored. All students are assigned a Faculty Advisor from among the program's Core Faculty upon admission to the program. Advisors maintain regular contact with their advisees by phone, e-mail, and face-to-face at residencies. In addition, students select a Mentor Faculty to guide their individualized learning areas. Core and Mentor Faculty work together with the student as a learning team, supporting the student's successful and timely completion of the program.

In this program, the role of these Faculty Advisors is to advise primarily around issues of program requirements, the core curriculum, and the student's overall progress through the program over time. As noted previously, Advisors are the second evaluators on all learning products and in this way, they can track the student's growth over time. This 'two sets of eyes' approach to evaluation also encourages the program's faculty to calibrate each other and to develop a shared understanding regarding standards and consistency in their application.

6.   The program models a commitment to the integration of theory and practice, within the context of principles of ethical and participatory leadership practice. This is exemplified by the requirement of the planning and implementation of an Organizational Change Project as well as the requirement of a research-based Doctoral Dissertation.   It is also exemplified in the fact that all learning products have both a theory and reflection component. Another example is found in

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[84] *Forms and electronic processes are available for review in the University Resource Room.*

the trajectory of the inquiry/research track which begins from practice, students' own inquiry into questions about their profession and work, rather than from abstract methods and methodologies. A final example is in the design of residencies, in which students encounter a range of sessions, some of which are more focused on theoretical understanding, others that address learning based on experience, and still others that attempt to draw experience and theory together.

7. The Program is characterized by a unique networked learning community which, while distanced, is also intensely collaborative. This paradox is manifest in virtually all aspects of the program's design. On the student side, while students live all over the country, the program places high value on peer learning, and has structured opportunities for student-initiated study groups and joint demonstrations of learning products. Students also can present and seek feedback on their works-in-progress at the Studio site of the FC desktop and their finished works can be posted at the Gallery site. Another example of the student collaboration is evidenced in the intensity of the cohort bonding, which is supported by the residency meetings and the pro-seminar discussions.

In terms of the networked model and the collaborative relationships of faculty, although faculty live all over the country, they meet face-to-face at quarterly day-long meetings to address program policies, curriculum issues, and student assessment, in addition to bi-weekly two-hour faculty conference calls. Faculty also hold an annual Spring retreat at which they determine program priorities and individual contributions toward those goals.

In addition, faculty work as a team to build the program. In the case of the curriculum, faculty have designed the course of study collaboratively and, in fact, while one core faculty member has primary responsibility for a core track, a second faculty member functions as support in that track. Further evidence of this collaboration can be found in the approach to compensation which, in addition to base salary, faculty are compensated for achieving program priorities as well as their individual achievements. The faculty annual evaluation process includes peer review and group discussion around the program's priorities and individual contributions to these goals. In this way, a culture of mutual accountability is being developed.

The Faculty. As indicated, the faculty model is as unique as the program's design and curriculum. The faculty of the program demonstrate the experience, skills, scholarly record, and requirements of doctoral-level faculty in terms of scholarship, teaching, and service. The Core Faculty of this program all have national reputations and are senior scholars at the rank of full professor. What is perhaps most distinctive about the faculty, however, is their commitment to student learning, which is at the heart of the program. There are three distinct faculty roles in this networked community. The program uses the same faculty 'employment' categories as the University as a whole, although the particular responsibilities of each category reflect the unusual nature of this program. The Core faculty, generally fulltime, function as the core of the program in terms of governance, curriculum, and assessment. The program's Core faculty do hold rank and have 10-month annual contracts. The program does not offer tenure. "Adjunct" faculty in this program are the Mentor Faculty, hired on a per-student basis, to oversee individualized learning plans. Visiting Faculty work as consultants advising the program's core faculty on curriculum and assessment. Both Mentor and Visiting Faculty may be asked to guest lecture if appropriate. Visiting Faculty, who work at other doctoral institutions, also serve on the Portfolio Review Committee[85].

The program is in the process of building its Core Faculty team. It began in September 2001 with 1.75 faculty FTE, and a first entering cohort of 13 students. At the time of the writing of this self-study, the program has a Core Faculty FTE of 3.00 to a student FTE of 40. At this writing, the program is initiating a search for two full-time core faculty to be hired in academic year 2003-04. For each of the next three years, the Core Faculty will increase by 1.0 FTE, for a total of 6 FTE for a projected 100-120 student FTE. In fact, it is the program's goal to hire two Core Faculty in 2003-04, which would bring the projected faculty/student ratio next year to 5:65 (projected), or approximately 1:13. In addition, the program retains a 1.0 Library Faculty, to be hired in Fall/Winter 2003[86].

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[85] *Generic faculty job descriptions are in the Resource Room.*
[86] *See faculty vitas and publications in the University Resource Room.*

All policies related to faculty are published in the faculty handbook.[87] Many of the employment personnel policies are, in fact, University-wide policies. However, a number of the program's faculty policies, while consistent with University-wide policy, have been designed to address the particularities of this program. The development of many of the policies and procedures have been the result of discussion by the founding faculty of the program. In particular, we have tried to address faculty roles and performance evaluations in a fashion consistent with the program's emphasis on collective responsibility. As well, the program has had to develop policies regarding sabbatical and vacation that address the distinctive qualities of this program's year-round model.

The Students: Admissions and Student Profile. Admission to the program is a selective process (approximately 50% of applicants are offered admission at the time of this writing). A Faculty Admissions Committee evaluates all applications. Applicants who proceed to the first round are interviewed via phone by a member of the admissions committee. As part of the application process, a complete record of transcripts is reviewed as well as a writing sample, in-depth admissions essay, three letters of recommendation, and computer competency. The selection process weighs factors such as the applicant's professional experience, capacity for self-directed doctoral learning, academic skills and potential, and an interest in interdisciplinary study and applied research. Applicants must demonstrate a strong potential for individual and professional growth and an interest in being a socially engaged professional. Standardized tests are not required for admission, although students may submit scores from the Graduate Record Exam and/or Miller's Analogy Test with their application.

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[87] *See Faculty Handbook, University Resource Room.*

A profile of the program's first 75 applications (received in the program's first six months) is instructive of the non-traditional nature of the student body.

Gender:

60%   female

40%   male

Age:

12%   20-29 years old

19%   30-39 years old

31%   40-49 years old

28%   50-59 years old

4%   over 60 years old

6%   did not identify

Ethnic/Racial Diversity:

53%   Anglo

33%   African American/African

4%   Asian-American/Asian/Pacific Island

3%   Latino/Hispanic

3%   Native American

4%   did not identify

Professional Sector:

40%   Education

      (20% K-12 Administration and a few teachers; 20% Higher Ed Administration)

43%   Business/Corporate

17%   Non-profits (administrators of community organizations, arts centers, foundations)

Location:

47%   Midwest

25%   West/Northwest

17%   East/Northeast

8%   South

3%   International

III. Assessment

The program has developed and incorporated an array of assessment components to provide continuous evaluation of the program's features and student learning.

Student Learning. As with all Antioch University programs, student learning is evaluated using narrative evaluations rather than grades. All individual student-learning products in the Ph.D. Program are evaluated by two-program faculty[88].

Core Faculty, as a whole, review each student's progress annually. Advisors prepare summary reviews of their advisees' work to date and these are shared and discussed with the faculty team as a whole. In this way, Core Faculty review issues of satisfactory academic progress, timeliness and quality of work of individual students and also of the cohort group as a whole. Questions most pertinent at these annual meetings are: Do students master each of the competencies set forth? Do they achieve them on schedule? Which seem to give students as a whole the most and least trouble? What accounts for this? How much variability exists in student accomplishment? To what extent might this be traceable to students' entering characteristics? To what extent does this require modification(s) in residency sessions? The first such annual review of students' progress will occur in Summer 2002 as the faculty look at the first term of the entering class[89].

In terms of the student learning over time, the faculty have determined that they are most interested in examining the effectiveness of the Core Curriculum experience in preparing students for the Individualized Curricula, whether and how students integrate reflection into their own professional practices, and what are the most and least powerful learning experiences. Sources of evidence for these determinations will be:

Student portfolios. Students are required to maintain portfolios of their best work, including their demonstrations of both Core and Individual competencies. When submitted for review at

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[88] *Samples of faculty evaluations of student work are in the University Resource Room.*
[89] *Survey results are in the University Resource Room.*

the time of advancement to candidacy, these portfolios contain an integrative reflective essay in which students assess their entire learning experience to that point. They are expected to identify major accomplishments, watershed learning experiences and personal insights, to show how individual program components knit together and relate to individual learning goals, and to demonstrate how their learning products have met curricular requirements. Students will be expected to write coherently about how their learning related to their professional practice, and compellingly about how they are now ready to undertake a dissertation.

This is a critical juncture in the students' doctoral studies. These portfolios are reviewed by a team of Core and Visiting (external) Faculty and the team's written review of each Portfolio will be shared with the Program Director who will in turn share at the annual faculty review.

Student evaluation forms: Students evaluate virtually every aspect of the program's curriculum and delivery including each residency, as well as advisor and mentor relationships.   These evaluations are submitted to the Program Director, who aggregates the data where appropriate and shares with the faculty at regular intervals. Individually relevant data, such as that on advising and mentoring, is also shared with the respective faculty member. This feedback has already had an impact on the design of residencies and the pro-seminar, where modifications were made to the pro-seminar focus for Cohort 1 to tie it more closely with the learning products[90].

Faculty Performance. Given this unique faculty model, the program must be attentive to examining faculty roles and both individual and team performance. Among the questions most pressing in this examination are: (1) How does the program support individual faculty goals as well as the unit's priorities? (2) How accessible and responsive are faculty at a distance? How effective is the networked faculty model? To what extent does it help or hinder student learning? and (3) How well does this model provide opportunities for faculty governance and colleagueship?

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[90] *Student evaluation forms are in the University Resource Room.*

There are a number of sources of evidence.

Faculty job descriptions and evaluations: Evidence of individual contributions to unit priorities can be found in the individualized job descriptions, which are partly the product of peer conversations about the year's priorities. Evidence of the accomplishment of both individual and unit priorities can be found in the faculty member's year-end annual evaluation, which includes the personal self-evaluation of achievement as well as a peer conversation about contributions[91].

*Student evaluations of faculty***:** Evidence of the accessibility and responsiveness of faculty can be found in the student evaluations of residencies and in the evaluation of their advisors. In both formats, students are asked to address issues of timeliness, availability, responsiveness and quality of feedback where appropriate. These forms are submitted to the Program Office which in turn shares the data in the aggregate with the full faculty, and shares relevant individual information with the respective faculty.

*Program's implementation***:** As a start-up program in which virtually every aspect of student learning and faculty life must be designed from scratch, evidence of faculty governance and colleagueship can also be found in the very success of student learning and the effectiveness of the program's features.

Program Features

Given the distinctive characteristics of this distanced learning community, it is important to monitor the quality and effectiveness of the program, particularly as it supports student learning.   Among the questions that the program believes are important to assess are:

To what extent is the Program attracting an appropriately diverse range of students?
To what extent do admissions decisions honor this diversity without compromising academic standards?
In what ways does the program support, or not support, effective student learning?
Do students have sufficient access to faculty members and mentors?

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[91] *Job descriptions and the first year's year-end evaluations are in the University Resource Room.*

Are students able to access needed support services at a distance?

Are technology resources, in particular, deployed effectively?

Do the library resources support doctoral student research needs effectively?

How do student networks and other linked communication help or hinder learning?

Does the sum total of student learning add up to all that is expected of practicing scholar-practitioners with a Ph.D. in Leadership and Change?

Where are the gaps, if any?

Which parts of the curriculum receive too much, or too little, emphasis?

Sources of evidence to address the assessment of program features are varied and include:

Data on applicant and student body. Monitoring data on both applications and on matriculate students provides information on the program's ability to attract and retain an appropriately diverse range of students. Initial data, as shared earlier in terms of the profile of the first 75 applications, indicates a wide range of diversity, especially in terms of age, ethnicity, professional affinities, and geography.

Student Satisfaction surveys. Students will complete both end-of-residency and end-of-year evaluations of their learning experiences. They will respond to questions about faculty and program quality, support services, facilities, and logistics. Each summer residency will also include an oral group debriefing session with students[92].

Program appraisal by external educators. External faculty who have been involved in Portfolio Reviews will be asked to share with the program their assessment of the quality of the student's doctoral level preparedness as scholar-practitioners based on their review of the compilation of student work and integrative essay. The first group of students are expected to petition for advancement to candidacy in Summer 2004.

Post-graduation surveys of alumni and employers. The Program expects to conduct a mail-out survey of former students and their organizations, assessing the impacts the Program had on both

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[92] *Completed surveys, from summer 2002, are available for review in the University Resource Room.*

the person and the organization to which they belong (if any). Obviously, the first of these post-graduation surveys will not occur until sometime in 2005.

IV. Looking Into the Future

The program admits a 25- to 30-person cohort annually, with each year's opening residency held in the Summer in Yellow Springs, Ohio. Based on that growth rate, and projecting a 35-40% attrition rate, at its full capacity the program will have 100-125 FTE students in five years, with approximately 20-25 of those students in the dissertation writing stage. By that time, the program will have six fulltime faculty FTE, a cadre of close to 50 approved Mentor Faculty , and a small group of select Visiting Faculty. The program will have a small, efficient Yellow Springs office and will continue to utilize and pay for services obtained from campuses of the University. The program will not only be self-sustaining, it will also be able to contribute to the University's growth by paying its share of overhead. It will also contribute to the University's national visibility and innovation by hiring and retaining excellent faculty with national reputations, by diversifying its student body and preparing high quality Ph.D.'s who are committed to scholar-practitioner change in their professions.

The program faces a series of reviews during the next several years. This NCA Review is but one of a series of upcoming reviews of this new and distinctive doctoral program. The Ph.D. program will undergo the Antioch University internal program review in 2003-04, and will be reviewed by the Ohio Board of Regents at the conclusion of the three-year provisional approval period, also in 2003-04.

As we look to that future, we are prompted to ask several key questions that this NCA Review may explore with us.
1) As a competency-based program for working professionals, we 'live' in the tension of upholding the importance of rigorous scholarship while supporting individual creativity and reflective practice. There are no absolutes in the resolution of these tensions, which we believe are healthy and at the core of the program's dynamism. Are there additional ways to work in the midst of these tensions?

2) The program has developed a multi-layered approach to program assessment and the assessment of student learning as outlined in the following chapter. Given the distinctive nature of this program, gathering the relevant data on student learning, faculty work, and program effectiveness is extremely important. Have we addressed all the pertinent questions or are there others that would be worth examining?

Chapter 8

Planning and Effectiveness

NCA Criterion Four: Antioch University can continue to accomplish its purposes and strengthen its educational effectiveness.

PLANNING ACROSS THE UNIVERSITY

Introduction. Future planning has taken multiple forms at Antioch in recent years.

1) A University Plan was developed in 1998/99 and passed by Board resolution in June 1999, with implementation to begin in 2000. That plan, with ten stated goals, became one basis for academic and financial planning across the University in subsequent years. (See Appendix D.)

2) Each of the non-residential campuses of the University developed strategic plans, linked to the University Plan, that were finalized in the Spring of 2000 and currently serve as a framework for planned growth, program development, and new campus initiatives. (See Appendix D.)

3) Antioch College developed its five-year strategic plan in 1997. A new strategic planning process will be implemented in the coming year under the leadership of the new College president. One goal of the 1997 plan was the initiation of a Capital Campaign for the College. This led to a feasibility study, completed in 2001, which in turn identified major investment priorities for the College. The Capital Campaign is currently in the quiet phase and has to date raised $21,000,000 in gifts and pledges.

4) A draft of an Antioch University Technology Plan was generated in 2000, and has served as a working outline for on-going planning and assessment of technology needs. In Spring 2002, Information Technology in Yellow Springs was consolidated among Antioch College, Antioch University administration, and Antioch University McGregor. In July 2002, all technology resource managers across the University held a two-day retreat in Yellow Springs to further technology planning and coordination efforts[93].

5) The Antioch University Board of Trustees established a committee structure and has charged this group with researching areas of strong interest and importance to the University. This group, *The Future of Antioch Task Force*, is focusing on four

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[93] *Minutes, including recommendations, from this retreat are available in the University Resource Room.*

top priorities identified jointly by the University Leadership Council and the Board of Trustees. These priorities *1) cooperation and collaboration across the University in support of the University mission, 2) program growth and innovation, 3) build-up of University infrastructure and capacity, and 4) promotion of the University's reputation and visibility.* Each topic area will be studied by a sub-committee with cross representation from the Board, the ULC, campus committees, alumni, and community representation. Findings, results, and conclusions are expected by Spring 2003.

These five areas of activity are the most recent organized efforts to plan for the future in what has become an ongoing planning environment.

The University Plan. Antioch's second University Chancellor, Dr. James Hall, took office in January 1998. Among Chancellor Hall's first initiatives was to put into place an *ad hoc* University-wide planning committee structure. With representation from all campuses, faculty, staff, and administration, six study groups were convened with emphases on the following: vision and mission; students and academic programs; professional development; fiscal modeling; fund development; and facilities, technology and infrastructure. Throughout 1998, these groups studied the internal and external factors bearing on these topical areas, current trends and practices in higher education, and conducted periodic discussion meetings via teleconferencing. In February 1999, all members of the strategic planning sub-committees met at Antioch University Seattle, following an annual faculty conference, and shared their findings with the University community. Between February and June of that year, the University Leadership Council (ULC) with input from sub-groups of the Board of Trustees and additional feedback from the planning groups, refined the recommendations and consolidated them into ten University strategic goals. These priorities are serving as planning tools for the period 2000 to 2005 and are identified below.

1) Revision, as appropriate, of the institutional vision and mission.
2) Enhance Antioch University's regional and national visibility.
3) Increase and diversify the Antioch student body.
4) Broaden program offerings including University-wide offerings and campus linkages.

5) Implement comprehensive assessment practices of student learning and program effectiveness.

6) Enhance recruitment, retention, and support of highly qualified faculty and staff.

7) Strengthen the University's fiscal structure, reserves, and investment capacity.

8) Increase fund development capacity for each campus.

9) Create and further upgrade the University's technology infrastructure.

10) Plan and project space needs, renovation, and capital fund requirements.

The Antioch University Board of Trustees approved *The Antioch Idea, Imagination and Innovation Since 1852: Strategic Plan 2000 – 2005* at its annual meeting in Yellow Springs in June 1999. In July 1999, the University Leadership Council and Academic Deans met in Santa Fe, New Mexico, for the annual summer retreat. The ULC and Deans worked with consultant Mike Little to identify those strategic University goals that held the greatest promise to "leverage" the University. High leverage goals were thought of as those with the highest return on investment in a resource-restricted environment. At the end of three days of meetings and discussion the five "high leverage" goals to be given priority across the University were:

- bring greater regional and national visibility to Antioch,
- diversify academic programs,
- attract and retain quality faculty and staff,
- build development capacity, and
- invest in technology.

It was agreed that each campus would address these five issues in their respective strategic planning and budgeting processes in order to advance each goal. It was understood that each campus would pursue each goal at its own pace and in ways consistent with the priorities of its campus and local constituencies.

Campus Strategic Plans. Informed by the University strategic goals and with the "high leverage" goals identified at the summer retreat in mind, each of the non-residential campuses developed campus-based strategic plans during the 1999/00 academic year with final drafts completed in the spring. The Antioch College strategic plan predates the University plan, but

there are clear common goals there as well. The following section details how each campus proceeded to incorporate the high leverage goals into their planning process and the accomplishments in each area of the last two years.

"High Leverage" Goals and Accomplishments

University Plan: Goal 2 - Enhanced Visibility for Antioch University

Visibility for the University and its campuses can take many forms and may be directed to multiple constituencies. In each of these high-leverage areas, Antioch's campuses make strategic decisions from year to year on where to invest resources and energies. Some years the priority may be alumni engagement, in others outreach to new student groups. Variation by campus is assumed and may occur at different points in the five-year planning period.

In its planning, Antioch Seattle stated as its fourth goal "community engagement." Included under this goal was to build a strong board of visitors, the creation and implementation of a strong public relations plan, develop partnerships and alliances, and encouragement of students to act as ambassadors.

Antioch Southern California's fourth stated goal was to enhance regional visibility and recognition including the development of a marketing plan and a plan for community outreach.

The Antioch New England campus clustered goals into sections of its plan with each cluster of goals presented as responses to key questions. Section Six of the ANE plan asked how the campus could best identify and reach new markets. Goal statements included exploration of commercial radio spots for specific programs, continuing to highlight the ANE Speakers Series, a plan for the 38th anniversary celebration, continued support for faculty conference presentations, directing more resources to the public relations budget, and seeking more press coverage.

Within its enrollment management goals, Antioch University McGregor seeks to develop a new marketing plan that promotes programs and services to appropriate populations, and to implement a communications strategy that reaches all stakeholders in a consistent professional manner. In Admissions they intend to increase outreach to area human resource directors, develop and implement on-line applications and increase application access on the Web.

Due to differences in planning calendars, Antioch College's work in the five high leverage goal areas is more retrospective of accomplishments than future planning at this time. In the area of national visibility, the two most significant areas of accomplishment for the College are in the areas of admissions and assessment of student achievement. In FY 1998 the College invested significantly more resources than previous years in outreach to high school sophomores and juniors with the explicit goal of getting Antioch's name into high schools and high school students' heads much earlier in the college selection decision-making process. This has resulted in substantially more inquiries. Second, the College has participated in the National Survey of Student Engagement for the past two years resulting in measures of student engagement and indirect measures of achievement that are among the highest in the country among liberal arts colleges. These results have brought some national attention to Antioch College.

The Seattle campus has invested considerable time in cultivating the media as part of its efforts to increase visibility, sponsoring numerous tables at the various Seattle organizational luncheons, delivering academic forums open to the public, and having Board of Visitors members host workshops open to the public. The campus recently received a Gates Foundation grant to establish early college models in high schools that serve the Native American communities, which has brought considerable national and local press attention to Antioch Seattle. The president, in collaboration with Tom Van Ark of the Gates Foundation, has had an op-ed piece published in the Seattle Times concerning the status of public education, spoke at a national press conference in New York City, and was asked to talk about this topic at the June 2002 ACE National Women's President's Conference in Washington, D.C. The directors of academic programs have been urged to deliver public forums on topics highlighting and related to their areas of expertise. For example, faculty in the Center for Creative Change have presented forums regarding organizational change while Board of Visitors members have designed and

hosted workshops on "Religion in Public Schools" and "Race and the Media." All of these programs were advertised to the public and had strong attendance. Review of the Seattle advertising budget over the last four years reveals a measurable increase with greater diversity in the types of ads and their placement.

University Plan: Goal 4 – Extend, Strengthen, and Diversity Academic Programs

As in 1993, Antioch's non-residential campuses continue to have masters level programs in education, management, and psychology. Each of these areas has seen enrollments rise and fall over the past ten years. Beginning in 1995, it was evident that master's level psychology degrees were losing ground in student demand, particularly on the west coast. Enrollments in these programs have since leveled out but at a lower base than the peak year of 1994. Management degrees, which have varied in emphases on each of the campuses, began to show declines at all three west coast programs after 1997. Some of these programs have since stabilized; others have not. Education enrollments have risen sharply on all four non-residential campuses and new certification and licensure programming has been developed and implemented in response to demand. These programs, however, are among the most labor intensive and expensive to operate and are capped on most campuses. Given these trends, it became evident that Antioch University would benefit greatly and could further its mission by broadening its program base and diversifying its offerings.

Since the time of the last review in 1993, a number of degree offerings are new. Antioch Southern California began its Master's of Arts in Creative Writing in 1997, and a Master's of Arts in Education in 1998. Antioch University McGregor reorganized its Individualized Master's of Arts such that one of its tracks, Conflict Resolution, was broken out as a free-standing new degree offering; another, Intercultural Relations, was discontinued. McGregor's Teacher Certification program began in 1996. Seattle introduced new programs in Management, Art Therapy, and a BA with Teacher Certification. And, as indicated, both of Antioch's Ph.D. degrees (Environmental Studies, and Leadership and Change) are new since the last review.

Program activity, including expansion or enhancement of existing programs and development of new programs, occurs at Antioch in a variety of ways. One goal of the University Strategic Plan was to begin to explore University-wide programming, which is to say programs not tied to any single campus, collaborations across campuses, or programs that draw on resources from two or more campuses. Progress was made in two programmatic areas. Foremost, in January of 2002, Antioch University held the first residency for its newly developed Ph.D. in Leadership and Change, the culmination of a five-year development process[94]. The first cohort of admitted students numbered 11. A second cohort, beginning Summer 2002, enrolled 30 students. This program, as part of this comprehensive review, is presented in some detail in Chapter 7 of this *Self-study*. Another exploratory area of University-wide programming was in the area of on-line course offerings. Faculty from Antioch Southern California's two regional campuses, Antioch Seattle, and Antioch College all participated in training for on-line teaching, and offered courses in Spring 2001, Fall 2001, and Winter 2001/02 open to students from all campuses. These offerings were supported by University funds for program development (see Innovation Fund below).

Another promising new program area is a community college administration track within the Master's in Management degree program at Antioch University McGregor. Exploration is underway for other new degree offerings on all campuses.

University Innovation Fund. In an effort to seed and support program innovation and development, the University Leadership Council put into effect a University program innovation fund in 1999. These funds were not intended to replace campus funding of development effort, but to offer modest supplemental support for promising ideas. The fund operated for two years and was then suspended in FY 2002 due to constricting budgets. A call for proposals went out to all campuses in Fall 2000, and again in Fall 2001, with a review by academic deans each winter resulting in funding allocated to promising proposals. Proposals could be for entirely new program development ideas, or enhancement of existing programs by extension or addition of new tracks or concentrations. The following proposals received University funding.

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[94] *See Chapter 7.*

2001

- Antioch Seattle reorganized four programs (Environment and Community, Management, Organizational Psychology, and Whole Systems Design) into what is now called the Center for Creative Change in order to support interdisciplinary program development and teaching;

- Antioch Southern California further developed technological enhancements for low residency BA and MA programs;

- Antioch University McGregor conducted a feasibility study for a community college administration track within the management program;

- Antioch Southern California's MA in Education received funding for development of a specialized track;

- Antioch College worked to strengthen ties with co-op employers;

- Faculty from the three west coast campuses trained in on-line course delivery and offered courses.

2002

- Antioch Seattle developed its educators professional certification;

- Antioch McGregor worked on program development for the community college administrators track within its management program;

- Antioch New England developed a program in elder care management;

- Antioch New England also established a Coalition of Essential Schools Regional Center in partnership with Keene State University;

- Antioch College further enhanced the co-op program and extended the number of available co-op jobs;

- The MA in Education/Teacher Certification program at Antioch Los Angeles provided professional development workshops for educators;

- The West Coast campuses and the College participated in on-line faculty training and course development.

Evaluation of Effectiveness. The Innovation Fund was funded modestly at $50,000 in 2000/2001. A call for proposals elicited five requests for funds. It was decided, given the

relatively small pool of money available, to fund all five at some level. The following year $100,000 in funds were made available. Eleven proposals were submitted in response to the call for proposals. The academic deans from all campuses participated in a thorough review of the proposals, prioritized them, and recommended to the University Leadership Council that the top seven be funded.

In September 2000, all of those funded in the first round of awards submitted final reports of progress and accomplishment. Final progress and accomplishment reports on the second round of awards were submitted in September 2001[95]. The Innovation Fund was suspended for 2002/03 due to budget restrictions. The suspension decision was not a reflection on the quality of work completed with assistance from the fund. A review of the final reports shows a wide range of accomplishment. Academic Deans across the University felt this was money well spent. An added benefit of the fund was to increase awareness of the University role in institutional development and academic work among all campus constituencies. The cross-campus on-line collaboration in particular served to demonstrate how future collaborative enterprises might be conducted.

University Plan: Goal 6- Recruit and Retain Quality Faculty and Staff

One of the goals of the *University Plan* is to recruit and retain quality faculty. Both at the campus and university levels, this goal has been taken seriously. Progress on its achievement has been mixed and this section will first present the successes and then comment on the continuing challenges.

Recent searches at a number of our campuses have demonstrated the institution's ability to attract high quality faculty with national reputations. Antioch New England's Ph.D. in Environmental Studies, Antioch Los Angeles's MFA in Creative Writing, and the University's new Ph.D. in Leadership & Change are three examples where individuals with national reputations and extensive publications/research have been attracted to Antioch. The Ph.D. in Leadership's two founding Core Faculty, in fact, both left tenured full professorships at top institutions, the University of Wisconsin-Madison and the University of Richmond, to join this

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[95] *Reports are available in the University Resource Room.*

exciting new program. The attraction was the distinctive design, the unusual faculty roles and opportunities, and the legacy of Antioch. In the case of LA's MFA, the new program has gone from start-up to a competitive nationally known low-residency program, largely because of the reputations of its roster of high quality and extensively published writers/artists.   A recent Program Review site visit highlighted the importance of this roster in attracting other faculty and, of course, in attracting students.

All searches for Core Faculty (except in very rare exceptions requiring the approval of a campus president) involve open, national searches. In addition to the traditional process involving posting the vacancy in the *Chronicle of Higher Education*, a number of campuses pursue extensive efforts to increase the diversity of pools through more varied placement of announcements and the mining of student, board and community networks. The College and Antioch Seattle, for example, both have rather extensive search guidelines to this effort. Our campuses report that they are generally successful in faculty searches, regularly securing the top candidates in their pools.   More detailed information can be gleaned from the campus self-studies.

Faculty retention, particularly in the case of the institution's Core Faculty, remains one of Antioch's successes. We continue to retain excellent, committed faculty at the non-residential campuses in high numbers, despite the lack of tenure at these campuses. The College has experienced some turnover in the past few years as a relatively large group of new junior faculty who entered the system at a time of rapid growth in faculty have gone through the normal faculty promotion and tenure processes. Details of campus-based faculty retention rates can be found in campus self-studies.

While recruiting, hiring and retaining high quality faculty has its successes, as demonstrated above, each area also has its challenges and the University's strategic goal continues to be one towards which we strive.

In terms of recruitment, while we have been successful in attracting high quality faculty to a number of our programs, this is not absolute.   Some campuses find themselves running academic searches over several times and often, the reason for candidate's rejections of offers is

because they do not find the salaries to be competitive. In addition, campus reports demonstrate that diversity of the Core Faculty has not increased significantly at most campuses during this period.

As mentioned earlier in this document, while salaries have increased slightly for most years at all campuses throughout the period under review, the baseline faculty salary ranges are generally in the lower quartile of competitive institutions. This is something each campus is committed to improving. Perhaps the most notable improvement was the College's significant increases for several years to raise its faculty salaries. However, all campuses' efforts were stalled during the most recent financial belt-tightening. We are hopeful that progress at a quickened rate can now take place. Toward that goal, the ULC initiated this year a University-wide review of faculty salary and compensation packages. At the same time, each campus in 2002-03 provided between a 2-4% increase. As with other aspects of this report, the campus self-studies provide more specific detail.

Another issue which many Antioch campuses are struggling with is the "graying of the faculty." While not an uncommon situation facing many institutions of higher education today, it is particularly challenging at a small institution like Antioch, which does not generally have the opportunity to fill large numbers of new positions and, as noted earlier, benefits from strong retention of existent Core Faculty.

University Plan: Goal 8 - Strengthen University Fund Development

The 2000 – 2005 University Plan identified a series of objectives designed to build the capacity for fundraising across the University. These objectives included raising awareness and establishing the importance of fund development on each campus, building campus Boards of Visitors, maintaining active alumni organizations, and identifying targets, goals and plans for each campus. Each campus has pursued these general objectives in its own way and according to its own development timelines.

The needs and goals of the College have been long understood. Throughout the nineties, much of the groundwork for a second capital campaign was being laid. The College Strategic Plan, completed in 1997, clearly identified building up of endowment in conjunction with

increasing enrollments as the top priorities for the campus. Endowment growth for the College is understood not only to be a critical College goal, but a clear University goal. Endowment growth, which would contribute to stabilizing the College's financial structure, would also relieve considerable pressure from the non-residential campus budgets.

In June 1999, Ketchum Inc., the firm retained to conduct the feasibility study for the College Campaign, presented its results to the Board of Trustees[96]. Three Ketchum consultants conducted 67 personal interviews in April and May of 2001. Interviews were conducted with board members, former board members, potential top donors, alumni, and members of the University leadership. The interview format was designed to elicit advice, impressions, opinions, the availability of gifts that would be sought, the viability of a campaign, and identification of possible leaders and volunteers. In their report to the Board, Ketchum identified positive factors as well as factors to be overcome in order to insure a successful campaign. On balance, conditions favored a campaign, and Ketchum recommended that Antioch immediately proceed with a major endowment campaign for the College. Currently, during the initial quiet phase, the infrastructure is being built to sustain a four- to five-year effort and $21,000,000 in contributions and pledges has been obtained to date. The success of the quiet phase will determine the overall goal of the campaign. In preparing the case statement for the campaign, College funding priorities were identified. Top priorities include student scholarship funding, endowed professorships and faculty development funding, library endowment, and investment and improvement in facilities, especially the library, the science building, and technology infrastructure.

In Fall of 2000, Antioch New England Graduate School (ANE) hired a full time professional to serve as Special Assistant to the President for Development and Alumni and External Relations. The ANE annual fund now stands at about $75,000 a year. The Board of Trustees has recently approved ANE's first capital campaign effort. Campaign funds would be directed toward scholarships, teaching fellowships and assistantships, technology infrastructure, and capital needs. A firm campaign goal has not yet been established but at this time at least

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[96] *See "A Special Report on the Fund-Raising Potential of Antioch College, Yellow Springs, Ohio," conducted by Ketchum, Inc., in the University Resource Room.*

three million appears feasible. The structure for the campaign is being put in place and the quiet phase will proceed through October 2002.

Antioch University Seattle has been gradually building its development staff and capabilities over the past three years. The staff currently stands at four including a director of development, director of integrated marketing, an administrative assistant, and a dean of University relations. Next they intend to fund a position for alumni relations. Alumni recruitment and interest has increased and the University relations office produces quarterly alumni newsletters. In addition, the office hosts a December and June celebration for new graduates to which all alumni are invited. Antioch Seattle has an active Board of Visitors whose membership currently stands at ten. The Board meets quarterly. The Board has been active in growing the scholarship endowment fund, which was started three years ago and currently stands at $23,000. In 2002, an additional $6,000 was raised in unrestricted scholarship money. The annual fund is $30,000. National attention came to the campus with an award of a $3,000,000 five-year grant from the Gates Foundation and a $1.5 million five-year grant from the Kellogg Foundation to establish early college models at high schools that serve Native American communities in Washington State. The campus is working on establishing contacts with donor prospects with the goal of increasing annual giving and both unrestricted and major restricted gifts.

In 1999, the newly appointed president of Antioch University McGregor identified alumni and community outreach as a top priority. The following year a fulltime professional development director was hired. The major focus of this office is to increase gift giving to the campus. McGregor has an active Board of Visitors including many leaders from the Dayton business community.

Antioch Southern California's two regional campuses are just beginning to build development capacity and infrastructure. The Los Angeles campus has been successful in obtaining a number of considerable gifts for program development. Santa Barbara recently received $270,000 out of a one million dollar partnership grant. They have used those funds to hire an alumni affairs staff person and an executive assistant.

University Plan: Goal 9 - Invest in Technology

Following Board approval of the *University Strategic Plan*, a technology task force representing the University offices and the campuses was appointed. This task force began its work in 1999 and produced a working plan in 2000. The plan includes internal and external environmental analyses, user survey results, a historical overview of technology capability and usage at Antioch University, and specific plans and recommendations by campus and for the University. Also for the purposes of technology planning, beginning in 1997, the University initiated a process of developing a five-year capital budget to be updated annually[97]. The purpose was to formalize planning for major acquisitions over a period longer than a single year. This necessitated a revision of budgeting processes on the campuses and does not yet have the structure and involvement initially intended, though each year brings some improvement. The *Five-Year Capital Budget* deals primarily with facilities and technology. It is assumed that these two areas will account for the largest share of capital expenditures for the foreseeable future. These two documents, the *Technology Plan* and the *Five-Year Capital Budget* combined, serve as a roadmap for technology investment, upgrading, and planning.

Accomplishment Highlights. In 1998/99, Antioch College brought Olive Kettering Library on-line and made connections to OPAL and OhioLink fully operational. At that time, one-third of the faculty were not yet networked, and the dormitories were only partially wired. The following year the College wired the Union building, Mills Hall, and the Science Building. They also upgraded student instructional support, library computer labs, and further upgraded faculty and administrative computing facilities.

In 2000/01, Antioch New England invested approximately $18,000 in computer and software replacement and upgrades. They also began leasing to meet new needs. They outsourced the email system and hired additional personnel support. Investments in technology are projected to increase at a rate of 20-30% over the course of the capital plan.

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[97] *See the Five-Year Capital Budget documents for the last four years in the University Resource Room.*

In 1999, Antioch University McGregor obtained its own dedicated Internet connection to provide faster and better service to students. In 2000, McGregor completely renovated its education and multimedia lab. Twenty new iMac computers were installed with a laser printer and mobile instruction presentation cart and LCD projector. They also set up a new computer lab with 13 IBM PCs, a mobile instruction cart and LCD projector. In 2001, McGregor obtained a web-based course delivery system and joined the Ohio WebCT Consortium. They currently deliver on-line graduate courses through this format.

Since the last NCA review, Southern California has obtained desktop computers for all faculty and linked them to area networks maintained by each campus. Each campus has developed computer laboratories that are used by students for bibliographic searches and other coursework. The labs as well as some classrooms are equipped with Internet access and projection devices. Some faculty have obtained training for on-line instruction and some courses are being taught on-line.

At Antioch University Seattle, all faculty and staff have a desktop computer linked to an area network. The campus has expanded their computer lab and established a separate computer classroom, both of which were enlarged with the remodeling done in 2001. The full-service lab contains 14 computers for student use, all networked with high-speed Internet access and laser printing. There are two high-end graphics stations with scanners and software for graphics and video editing. The computer classroom contains 11 computers, all wireless networked to a high-speed Internet access. This classroom can accommodate 22 students. There is also a mobile projector and laptop stations for use in presentations in any classroom in the building. All students are given accounts on First Class, the email and conferencing system, which provides for internal communication, on-line dialogue and information sharing for classes, and student documentation through personal homepages. Students are trained in its use, and different programs utilize the functionality of the system depending on their unique needs.

As part of the decentralization plan initiated in 1994, the University administration converted to Datatel in 1997 as a common system-wide means of integrating accounting, budgeting, human relations, admissions, financial aid, registrar, and student accounts. It has

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taken some time for all campuses to become comfortable and effective in using the system and though successful overall, training needs remain. The University administration also uses First Class as an emailing and conferencing system.

Conclusion. Antioch has made great strides in technology since the last NCA review. By normative standards it is not, and does not aspire to be, a high-tech university. It lacks the sophistication and infrastructure that many universities developed throughout the nineties. The University is committed to using technology in ways that are aligned with its mission and values. Technology is understood to be a critical component of teaching and learning today, and Antioch's overall goal is to meet the expectations of its students and compete with peer institutions while staying true to its mission.

A review of our technology plan and capital budgets will reveal that we are not yet where we would like to be or feel we need to be. Yet we have clarified for ourselves what our goals are, have made initial incremental progress in achieving those goals, and now seek to obtain additional outside funding sources and opportunities to continue to make more significant progress.

Chapter 9

Institutional Integrity

NCA Criterion Five: Antioch University demonstrates integrity in its practices and relationships.

Each campus *Self-study* describes campus-relevant institutional integrity issues such as policies and procedures bearing on behavioral norms and expectations and dealings with students, employees, other institutional entities and constituencies. As part of this self-study process, campuses conducted an internal review of policies, practices and procedures as they related to questions of integrity. Campus self-studies should be referenced for these reviews.

In addition to these recent local reviews, Martin, Browne, Hull & Harper, Antioch University general legal counsel, were retained for the purposes of conducting audits of the human resources and academic operations of the University. These audits were done in phases between 1999 and 2001. Phase I addressed human resource functions including job descriptions and hiring procedures, compensation and benefits, non-discrimination and affirmative action, health and safety, employee relations and communications, and files and record-keeping,

Phase II included sections on accreditation status, licensure and authorization to offer degrees and credit, grading and evaluation policies and practices, collaborations and affiliations with other entities, and faculty-student relationships. For each phase, campuses completed extensive questionnaires and provided supplemental documentation. These audits were done as an assessment of campus practices in dealings with their constituencies, to determine needs of the campuses, and identify risk. They were conducted under confidential attorney-client privilege. Review and critique followed submission of the materials with follow-up as appropriate.

Antioch University Board members, upon election to the Board and annually thereafter, complete a conflict of interest disclosure form and are bound to comply with the University Conflicts of Interest Policy prohibiting pecuniary benefit transactions between Trustees and the University. This practice insures that Trustees of the institution are autonomous actors and protects the integrity of the institution.

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Human Resources policies and procedures of Antioch University and each of its campuses comply with appropriate federal, state, and local laws, regulations and statutes (including the Family Medical Leave Act, The Higher Education Act of 1992, and the Fair Labor Standards Act). The Antioch University equal employment and non-discrimination policy is displayed on the University web page, on all job application forms, and on numerous University publications and notices. The *Antioch University Human Resources Policies and Procedures Manual* was most recently reviewed and revised in 1997[98]. All policies in the manual are Board approved and apply to all units of the University except where otherwise specified in the policies. Some University policies explicitly state which campuses or units the policy applies to, or who is exempted. Antioch campuses may develop local policies that supercede University-wide policies; however, all local policies are subject to Board approval. In some instances, University policies specify broader parameters within which local policies may be developed and where in some instances local policy development is expected.

University policy specifies hiring practices and processes and the expectations for employee evaluation. Grievance and appeals processes are outlined, up to and including final appeal to the University Chancellor. In the two-year period leading up to the NCA review (at the time of this writing) no employee grievances have been filed with the University.

Contained within the Board-approved University Policies are prohibitions against sexual harassment and a University Sexual Offense Policy. The University Drug and Alcohol Policy complies with the federal Drug-Free Schools and Communities Act of 1990 and the Drug-Free Workplace Act of 1988. Antioch University is an affirmative action institution.

Each campus of Antioch University has student, staff, and faculty and employee handbooks that describe institutional relationships, grievance policies, and programs[99].

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[98] *Available in the University Resource Room.*
[99] *See campus self-studies and Resource Rooms.*

Chapter 10

Federal Compliance

I.C.9. Credits, Program Length, and Tuition

Antioch University campuses use both semester and quarter credits. Antioch College and Antioch New England Graduate School are on a semester calendar. The other three campuses all operate on a quarter system. Formulas for equating credits and program length are based on standard practice. Two programs offer credits not based on this. The MFA in Creative Writing at Antioch Los Angeles and the Ph.D. in Leadership and Change both operate on an intensive residency schedule, holding three and four residencies per year respectively. The MFA description can be found in the Antioch Southern California self-study. The Ph.D. program provides descriptive information in its Student Handbook of how credits are awarded. Briefly, the Ph.D. in Leadership and Change is designed on an annual term basis. Thus, the units awarded are calculated as annual units, not quarter or semester units. In terms of an equivalency between these calculations, annual unit equals one semester hour. To follow this calculation more fully, one semester hour is generally equivalent to 15 in-class hours and 30-45 study hours for a total of 60 hours per semester hour. This is a 63-annual unit program (equivalent to 63 semester hours).

Tuition levels for all programs are set by campus administrators and approved by the Board of Trustees at the annual June Board meeting. Tuition schedules for the 2002/2003 academic year can be found in the 2002-2003 Budget in the University Resource Room.

I.A.5. Institutional Compliance with the Higher Education Reauthorization Act

Antioch University's university-wide default rate has been 1.6 percent since 1998. Department of Education verification of this rate may be found in the University Resource Room in the Finance section where audits are also available for review.

IV.B.2. Institution's Advertising and Recruitment Materials

Antioch University provides fair and accurate information about its programs in all advertisement and recruitment materials. As part of this *Self-study*, all campuses identified publications that indicate the institution's affiliation with the Higher Learning Commission, including electronic and print media. It was found that the University and its campuses do not

routinely include the phone number and address of the Commission. This has been corrected on all electronic materials. The next editions of all catalogues, advertising, and recruitment materials will include this information.

III.A.1. Professional Accreditation

In addition to regional accreditation with the NCA Higher Learning Commission, Antioch University holds professional program accreditations by the following groups and associations:

- The American Psychological Association (Antioch New England)
- The Commission on Accreditation for Marriage and Family Therapy Education (Antioch New England)
- The American Dance Therapy Association (Antioch New England)

These professional accreditations affect less than one-third of our students and programs. No adverse actions have ever been taken against the University by any of these associations.

III.A.3. Requirements of Institutions Holding Dual Institutional Accreditation

Antioch University is singly accredited by the North Central Association Higher Learning Commission.

IV.A.8. Public Notification of Comprehensive Visit

Public Notification of the Comprehensive Visit was posted on the Antioch University web-site and all Antioch campus web-sites in mid-July 2002. Notice was also published in the following news publications:

- The Yellow Springs News (Antioch College)
- The Dayton Daily News (Antioch University McGregor)
- Keene Sentinel (Antioch New England Graduate School)

Comments received may be viewed in the respective resource rooms of each of the campuses.

Chapter 11

Request for Re-accreditation

Request for Accreditation

Based upon the information, analysis, and assessments presented in this *Self-study*, Antioch University requests re-affirmation of its accreditation by the Higher Learning Commission of the North Central Association of Colleges and Schools. The University also requests that the stipulation in its ***Record of Status and Scope*** regarding prior Commission approval for new degree sites be removed.

The **Five NCA Criteria** and supporting evidence are found in each chapter of the study, or appropriate reference is made to backup information located in the University or Campus Resource Room files.

General Institutional Requirements are addressed in Chapter 2, with references to other materials throughout the *Study.*

Criterion One (Purposes and Mission) is addressed in Chapter 3.
Criterion Two (Organization of Human, Financial and Physical Resources) is addressed in Chapters 4 and 5.
Criterion Three (Accomplishing Educational Purposes) is found in Chapters 6 and 7.
Criterion Four (Continue to Accomplish Purposes and Strengthen) is the subject of Chapter 8.
Criterion Five (Demonstrates Integrity) is reported in Chapters 9 and 10.

In addition, the *Self-study* also relates these Criteria and General Requirements to the *University Plan's* ten long-term goals.

Finally, we believe that our current state of institutional maturity, combined with a highly structured process for review, approval and monitoring of academic programs at all locations, insures that the excesses experienced over thirty years ago cannot reoccur. Our internal control processes are rigorous in ensuring prudent deployment of resources and ensuring academic integrity in all programs. We reaffirm our strong conviction that the accomplishments of Antioch University over the past decade, objectively viewed, are exceptionally strong and compelling.

This *Self-study* has attempted to report accurately and candidly the realities, strengths and problems that we face, describing how we are or will find solutions. With a committed faculty and staff, an experienced administrative team, and a strong Board of Trustees, we look positively to the future and with great optimism for Antioch University.

Appendix A

Basic Institutional Data Forms

[Available Separately]

Appendix B

Resource Room Inventory

- Self-study Plan and Timeline
- Notes, March 26 Meeting
- Full BIDs
- 1993 Report of a Visit
- Assessment Survey Questions and Submitted Responses
- Antioch Degree Offerings
- Legal Authorizations to Operate by State
- All Administrative CVs
- University Academic Policies
- ULC Policy Manual
- Admissions Policies
- Ernst & Young Financial Audits
- University Budgets dating back to…
- All Campus Catalogues
- ULC Minutes, three years…
- Dean's Minutes, three years…
- Chatham Group Survey Questions
- Capital Budgets
- All Campus Self-Studies
- Indicators of Progress, six years worth…
- Assessment Survey to Campuses Q&As
- University Strategic Plan
- Campus Strategic Plans
- RFP on Innovation Proposals
- Ketchum Feasibility Study & Case
- University HR Policies
- Inventory of Antioch University Buildings
- List of Current Board Membership
- Resumes of Board members
- Board Bylaws and Meeting Minutes
- Board Conflict of Interest Document

Appendix C

Campus Mission Statements

Antioch College
Mission and Vision (as stated in "This is Antioch College" – Antioch College Catalog):
Educational and social pioneer Horace Mann, Antioch's first president, offered these parting words to Antioch students, which continue to inspire succeeding generations of Antioch College students: "Be ashamed to die until you have won some victory for humanity." The primary goal of an Antioch education is to empower its students with an education which will provide them an opportunity to win that victory.

Antioch's distinctive vision of a liberal arts education is realized in three interrelated educational arenas:

- The academic curriculum provides students with a broad general education that challenges students' values and perspectives, and increases their knowledge, ability to question, and general intellectual consciousness about themselves and the society in which they live.
- The cooperative education ("co-op") program of alternating terms of study and work provides life and work experiences that develop independence, confidence, and self-motivation.
- The campus community structure offers significant responsibility for the social, cultural, financial, and policy issues that govern college life.

Antioch students are expected to reach beyond conventional learning. With classroom and co-op faculty, and within the context of the curriculum, students plan their own education, reflect upon their experiences, and broaden their perspectives. The goal is for Antioch students to become intelligent experimenters, informed risk-takers, creative thinkers, and courageous practitioners. Antioch College encourages its students to have a balanced respect for all life – self, other, society, and the earth.

Antioch New England Graduate School

Mission and Values Statement:
Antioch New England Graduate School is a community of civic-minded adult learners, practitioners, scholars, and leaders. We provide a transformative education by linking the worlds of scholarship and activism, and by fostering the process of lifelong learning. Antioch challenges its members to improve the quality of life locally and globally through research, community action, professional service, scholarship, and the stewardship of the natural world.

Antioch New England values a learning process which emphasizes self-understanding, critical thinking and reflection; diversity of life, thought, and opinion; collegial collaboration and the creation of community-based forums for open dialogue.

Antioch New England recognizes and cherishes the human community. In the local community, the region, and the world, we promote social justice, ecological literacy, organizational integrity, common economic good, and respect for the whole person.

Antioch New England is acutely aware of the importance of relationships and of diversity. We strive to cultivate a sense of belonging and community within our institution, and to develop mutually beneficial interconnections and partnerships with individuals and organizations outside of the Antioch New England community.

Antioch University Southern California
Mission Statement
Antioch University Southern California is an independent institution that provides an excellent, innovative graduate and undergraduate education for adults. As Antioch education empowers the student to act responsibly and to effect personal, social, and environmental change within a global context. The Antioch approach emphasizes:
- The development of the student as a whole person;
- The integration of academic and experiential learning;
- Creative, critical, and independent thinking.

This approach to education springs from Antioch's long-standing heritage of making learning meaningful and vital while promoting social justice. Given Antioch's student-centered approach to education and its commitment to intellectual, social, cultural, and ethnic diversity, the faculties primary duties are to teach and advise, as well as to engage in the intellectual dialogue of their profession. In addition, faculty, staff, and students work with local communities to provide leadership and service, participating as broadly as possible in civic affairs.

Vision Statement:
Antioch University Southern California strives to promote a spirit of inquiry as a multi-cultural, intergenerational, and accessible institution, which values and nurtures an innovative, reflective, and experiential approach to educational excellence.

Building on our history and fostering creativity and leadership, we, the community of Antioch faculty, students, staff, and alumni – centering ourselves in compassion, ethical steadfastness, and a never-ending belief in the possible – carry this vision into the world.

Values Statement:
We value and commit to model in our lives and work:
- Global perspectives and knowledge of the interconnected context in which we act;
- Coalitions across groups for building common ground;
- Social justice, support for a sustainable environment, and community partnerships;
- Anti-racism as an imperative of the historical moment in which we live;
- Human dignity and dismantling ethnic biases, heterosexism, sexism, classism, ageism, ableism, discrimination based on religious, cultural and religious affiliations, and other forms of oppression;
- An intellectual climate that acknowledges the whole person, focusing on wisdom, creativity, experience and skills needed to promote social change.

Antioch University McGregor

Mission Statement:

The McGregor School of Antioch University, established in 1988, offers academic programs for adults that are responsive to emerging societal needs. Each program encourages critical thinking, provides opportunities for collaborative learning, emphasizes cultural diversity and an international perspective, and promotes the integration of life and work experience with academic knowledge. We believe that education is most effective when students, faculty, staff, and administration unite as a community of learners.

Our approach to education stems from Antioch University's historical emphasis on intellectual, emotional, and ethical development. The principles promoted by Douglas McGregor, President of Antioch College from 1948 to 1954, also inspired the School. McGregor, well known for his teachings in participatory management and leadership, believed that organizational effectiveness depends on the cooperative efforts of the entire community. He asserted that all have the right to express their views openly and to act on the basis of their beliefs, provided that they act in accord with the principles of democracy, and with honesty and integrity.

Antioch University McGregor is imbued with an entrepreneurial spirit and strives to provide high quality, socially responsive, flexible, and innovative educational programs. McGregor seeks to pass on to its graduates a legacy of passion for lifelong learning and a commitment to the application of knowledge toward the betterment of our workplaces, our communities, and the wider society.

Vision Statement:

Antioch University McGregor contributes to the betterment of the individual and the community by fostering academic excellence and providing socially responsive, flexible, and innovative education programs for adult learners.

Antioch University Seattle

Mission Statement:

To provide transformative education that engages adult learners in lifelong development and agency in a changing world.

Vision Statement:

To be an institution of innovation and excellence in adult higher education grounded in the four principles of
   1) Learning-centered,
   2) Access,
   3) Community engagement, and
   4) Integration.

Appendix D

Strategic Plans

[Available Separately]