

**Governance in the Academy:  
A University at Work in the 21<sup>st</sup> Century**

**PPAI1701K**

**Mondays, 3:00 – 5:20 pm**

**Watson Institute, Room 138**

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“Governance [is] the structures and processes through which institutional participants interact with and influence each other and communicate with the larger environment. A governance system is an institution’s answer – at least temporarily – to the enduring question that became a plaintive cry during the campus crisis of the late 1960s and early 1970s: “Who’s in charge here?” – Robert Birnbaum, 1988

"A good governance system accomplishes much. First and foremost, it identifies groups of participants best able to make particular contributions, and frees them to accomplish that task with a minimum of drag and inefficiency. A good governance system will not make up for participants with insufficient knowledge to make appropriate judgments; however, a flawed governance system that leads to uneven judgments or circumvents the capacity of experts to apply their knowledge can dramatically reduce the effectiveness of an institution. We must seek a system that has broad and relevant participation, clear expectations and lines of authority, transparency of structure and process, and constant assessment to eliminate the barnacles that necessarily appear as governance mechanisms age." - Ruth J. Simmons, 2002

**Course Description:**

This seminar will focus on understanding and evaluating the governance of the modern university. While not exclusively about governance at Brown, we will refer to Brown frequently as an example and case study to illustrate and illuminate various aspects of university governance. Themes of leadership, effective decision-making, priority-setting, planning, conflict and crisis management, and optimal organizational structure and behavior are intertwined with governance at all levels and will be discussed throughout the seminar. At the end of the seminar, students will be well-versed in the language, structure, roles of actors, and general operations of university governance and equipped to analyze and assess the strengths and weaknesses of various models. The seminar is designed for juniors and seniors who have an interest in pursuing a career in academia and university life or other non-profit organizations.

**Goals of this Course:**

- To acquaint students with the governance structure, mechanisms, and operations of a modern university.

- To provide students with an appreciation for the historical roots, traditions, and evolution of various aspects of university governance, relying especially on the evolution and development of governance at Brown.
- To give students who may be interested in pursuing careers in academia and academic administration a broad understanding of university governance, including strengths, weaknesses, and underlying rationales of different models and approaches.
- To develop students' oral and written communication skills through active class participation, an oral presentation, and original written work.

**Major Questions the Seminar will Endeavor to Address:**

- What do the structures, organization, and governance mechanisms of a modern university look like?
- Where do they come from? How has the evolution of universities over time changed – or not changed – university governance?
- What are the strengths and weaknesses of modern university governance with respect to support and fulfillment of the university's traditional mission of teaching and research?
- How do the various actors and constituencies in a modern university interact with each other? How are those interactions facilitated or impeded by the university's governance structure?
- What do the history, recent experience, and current state of university governance foretell for the future of American higher education?
- What broader lessons of leadership can be drawn from governance of the university?

**Course Requirements and Grading:**

Class and Discussion Forum Participation	40%
Oral Presentation	15%
Short Essays (2 of 3-5 pages each)	20% (10% each)
Final Paper (12-15 pages)	25%

*Readings, Discussion Forum & Class Discussion:*

Students are responsible for completing all assigned readings in advance of class, and being full and active participants in each class discussion. Students will also be expected on a regular basis (at least every other week, starting with week two) to offer brief written responses to discussion questions posted for the week's readings on the PPAI1701K site discussion forum. Discussion questions, drawn from the syllabus below, will be posted by Tuesday each week and responses should be posted no later than 9:00 pm on Sunday evening before class.

The material for seminar discussion will be drawn from assigned books, articles, original documents, and case studies.

Students must read *The Chronicle of Higher Education* on-line daily news stories ("Today's News") five times a week and will be encouraged to raise issues covered in the *Chronicle* in class discussions. The *Chronicle* is the paper of record for university administrators, faculty,

and trustees and frequently covers ongoing issues in higher education governance. Full access to the *Chronicle* is available to students through the University library:  
<http://chronicle.com/>.

*Short Essays:*

Students will write two short essays (three to five pages, double-spaced) on any two of the case studies assigned during the seminar. Essays will be due in class on the day the case study is assigned to be read and discussed.

Case study essays will: summarize (briefly) the facts of the case; identify the major issues, questions, problems, challenges, and/or opportunities presented by the case; analyze and assess the decisions made by the principals in the case with particular attention paid to considerations of good governance and best practice; and evaluate overall the actions and decisions of the actors in the case. The emphasis of the essay should be on evaluation and your assessment of what took place. If confronted with the issues contained in this case, would you make the same or different decisions as the principal actors? Why or why not?

*Oral Presentation and Final Paper:*

The final paper is an opportunity for students to undertake original research on any topic related to university governance – past, present or future. A proposal (no more than one page) will be due in class on Monday, April 7 and the final paper will be due on Wednesday, May 14.

The oral presentation will be an opportunity for students to share with the class the topic they have chosen to research, their major findings, and any relevant and related points they wish to present. Oral presentations will take place in the final class meetings of the semester and each student will be expected to present for no more than five to eight minutes.

**Course Materials**

Required Texts (available at the Brown University Bookstore):

Altbach, Philip G.; Berdahl, Robert O.; Gumport, Patricia J. (editors); *American Higher Education in the Twenty-First Century: Social, Political, and Economic Challenges*; The Johns Hopkins University Press; 3rd edition (April 8, 2011)

Rosovsky, Henry; *The University: An Owner's Manual*; W. W. Norton & Company; 1st Paperback Edition (June 17, 1991)

Thelin, John R.; *A History of American Higher Education*; The Johns Hopkins University Press (October 7, 2011)

All other readings, materials and case studies available electronically on the PPAI1701K course site.

## INTRODUCTION

### 1. January 27:        **The Study of University Governance and Mission of Higher Education**

Course goals, syllabus, requirements, overview of the semester. Discussion of the mission of higher education.

#### Readings:

Mission Statements of Selected Colleges and Universities

Faust, Drew; *The University's Crisis of Purpose*; *New York Times*; September 6, 2009

## PART I: HISTORICAL AND MODERN PERSPECTIVES ON UNIVERSITY GOVERNANCE

### 2. February 3:        **What is University Governance?**                                  **Part A: A Historical Perspective**

Many modern American universities have their roots in the 18<sup>th</sup> and 19<sup>th</sup> centuries. What governance principles defined the founding of these institutions of higher education? Who was in charge and what meaning does the answer hold for the mission, development, and evolution of American higher education?

#### Readings:

##### *Required:*

Thelin; *A History of American Higher Education*, Chapters 1 – 3

Altbach *et al*; *American Higher Education in the Twenty-First Century:*

*Social, Political, and Economic Challenges*, Introduction, Chapters 1 - 2

The Charter of Brown University (1764)

##### *Optional/Recommended:*

Rice, Andrew; *Anatomy of a Campus Coup*; *New York Times*; September 11, 2012

Friedman, Thomas; *Revolution Hits the Universities*; *New York Times*; January 26, 2013

Bronson, *The History of Brown University*, Chapter 1 (The Founding) and Chapter 2 (President Manning's Administration)

Philips, Janet; *A Short History of Brown University* (2000)

### 3. February 10:        **What is University Governance?**                                  **Part B: A Modern Perspective**

The actors, stakeholders, constituencies, and audiences of a 21<sup>st</sup> century university differ dramatically from the 18<sup>th</sup> and 19<sup>th</sup> century. Who are the stakeholders in university governance today? What are their roles and who is in charge? What is the definition of shared governance?

Readings:

*Required:*

Thelin; Chapters 4 – 5  
Altbach *et al*; Chapter 3  
Rosovsky; *The University: An Owner's Manual*; Chapter 15: *University Governance*  
Rhodes, Frank; *The Creation of the Future*; Chapter 12: *Governance and Leadership* (2001)  
Duderstadt, James; *A University for the 21<sup>st</sup> Century*; Chapter 11: *Governance and Leadership* (2000)  
Duryea, E.D.; *Evolution of University Organization*, Chapter 1  
Olson, Gary; *Exactly What is 'Shared Governance'?*; *Chronicle of Higher Education*; July 23, 2009

*Optional/Recommended:*

American Association of University Professors (AAUP) Statement on Government of Colleges and Universities

**PART II: MULTIPLE STAKEHOLDERS: PRINCIPAL ACTORS IN UNIVERSITY GOVERNANCE**

**4. February 24:      **Governing Boards: Structure and Organization****

What is a governing board? How is it organized? Who are its members and how are they selected? What are their responsibilities and how do they carry them out?

Readings:

Thelin; Chapter 6  
*The Statutes of the Brown University Corporation* (2013-2014)  
*AGB Statement on Board Responsibility for Institutional Governance*  
Wriston, Henry; *The Structure of Brown University* (1946)  
Duryea, E.D.; *Corporate Autonomy: The Dartmouth College Case* (Ch. 6) and *Governing Board Authority in Practice* (Ch. 8)  
Chait, Richard; *Why Boards go Bad* (2006)  
Bing, Robert and Dye, Linda; *Memo to the Board of Trustees: Please Meddle* (1996)  
Case Study #1

**5. March 3:      **Governing Boards Continued: Efficacy, Accountability, and Reform****

How have governing boards evolved and adapted to changing structures and norms in higher education? What can we learn from these change processes and experiences that may be applicable to other organizations and spheres of public life? How are governing boards accountable for their performance?

Readings:

- Thelin; Chapter 7  
*A Proposal for Restructuring the Brown University Corporation* (May 2003)  
Robert, Stephen and Carey, Russell; *Restructuring for Good Governance (Trusteeship, 2006)*  
*Brown University Corporation Governance Review Working Paper* (May 2009)  
Howard, Jean; *Finding a Voice: Women on the Brown Corporation* (1991)  
*Governing Harvard; Harvard Magazine Roundtable* (2006)  
Lewis, Stephen; *What I Wanted, and Got, from my Board Chairs* (2010)  
Chait, Richard; *Governance as Leadership*, Chapters 1: *First Principles*, 2: *Problem Boards or Board Problems?* and 7: *Working Capital That Makes Governance Work* (2005)  
Chait, Richard; *Improving the Performance of Governing Boards*, Chapter 4: *Getting Smart: The Key to Governing Smart* (1996)  
Case Study #2

**6. March 10: The University President**

What is the expected role of a university president in university governance? What power does the president have? How does he/she exercise power effectively within the confines of a shared governance system? What is the role of the president in society at large (whither the bully pulpit)?

Readings:

- Thelin; Chapter 8  
Altbach *et al*; Chapter 11: *Presidents Leading: The Dynamics and Complexities of Campus Leadership*  
Chait, Richard; *The Effective Board of Trustees*, Chapter 7: *What's A President to Do?* (1993)  
Birnbaum, Robert; *How Colleges Work*, Chapter 4: *The Collegial Institution: Sharing Power and Values in a Community of Equals* (1988)  
Wriston, Henry; *The Future of the College President* (1954)  
Keohane, Nannerl; *On Leadership* (2005)  
Hull, Roger; *A Primer for College Presidents and Trustees* (2008)  
Morrill, Richard; *Assessing Presidential Effectiveness* (2010)  
Hahn, Robert; *How Tough Is It to Be a College President?*; *Chronicle of Higher Education*; January 6, 1995  
Tierney, William; *Symbolism and Presidential Perceptions of Leadership*, (1989)  
Case Study #3

**7. March 17: The Faculty**

How has the role of the faculty evolved over time? What responsibilities and influence do faculty hold today? What implications does the faculty role in shared governance have for the university? Issues of academic authority, including curriculum, appointment and tenure, and academic freedom will receive particular attention in these discussions.

Readings:

- Rosovsky, *Professors*, Introduction and Chapters 1 – 2 (Pages 9 – 36) and Chapters 9 – 13 (Pages 157 – 236)
- Altbach *et al*; Chapter 4: *Academic Freedom: Past, Present and Future* and Chapter 9: *Harsh Realities: The Professoriate in the Twenty-First Century*
- Simmons, Ruth J.; *On the Matter of Standards in Tenure and Promotion* (2004)
- Simmons, Ruth J.; *On Building Brown* (2010)
- Scott, Joan Wallach; *Defending the Tradition of Shared Governance; Chronicle of Higher Education*; August 9, 1996
- Gerber, Larry; *"Inextricably Linked": Shared Governance and Academic Freedom*; (2001)
- Tierney, William and Bensimon, Estela; *Promotion and Tenure: Community and Socialization in Academe* (1996)
- Case Study #4

**8. March 31: Other Administrators**

The modern university has a multiplicity of administrative officers. Who are they and what do they do? What role do they have in shared governance and how do they carry it out? What tensions exist between these administrative actors and faculty, and how do those tensions manifest themselves? Particular focus on the role of the provost and chief financial officer.

Readings:

- Rosovsky, Chapter 3: *A Dean's Day*, and Chapter 14: *Deaning*
- Weick, Karl; *Educational Organizations as Loosely Coupled Systems* (1976)
- Julius, Daniel J., Baldrige, J. Victor and Pfeffer, Jeffrey; *A Memo from Machiavelli* (1999)
- Glotzbach, Philip; *Conditions of Collaboration: A Dean's List of Dos and Don'ts* (2001)
- Martin, James and Samels, James; *First Among Equals*; Chapter 1: *First Among Equals: The Role of the Chief Academic Officer* and Chapter 5: *Shaping the Leadership Team: The President, Governing Board, and Chief Academic Officer* (1997)
- Case Study #5

**9. April 7: The Students**

What is the role and participation of student governments? Students at large? How has the role of students changed over time and what can be anticipated for the future role of students in governance? How have market forces, changes in demographics, and competition for students altered the governance landscape with respect to student autonomy and participation?

Readings:

- Rosovsky, *Students*, Chapters 4 - 8, Pages 57 – 156
- Altbach *et al*; Chapter 10: *College Students in Changing Contexts*

Middleton, Charles; *The Virtues of Student and Faculty* (2010)  
Case Study #6

**Note: One page proposal for final paper due today.**

**10. April 14: Role and Impact of External Audiences on Governance  
Alumni, Parents, Government and the Media**

Modern universities are major actors on the public stage. How does governance take that reality into account? What impact does it have, if any, on the structures and processes of decision-making? What impact do donors have on university governance?

Readings:

Altbach *et al*; *Part Two: External Forces*, Chapters 5 – 8 (Pages 113 – 224)  
Brittingham, Barbara; *An Uneasy Partnership: Accreditation and the Federal Government; Change* (2008)  
Pelletier, Stephen; *Campus Security Under the Microscope* (2008)  
Carey, Russell; *The Art of Anticipation; Chronicle of Higher Education*; July 14, 2006  
Case Study #7

**PART III: LOOKING TO THE FUTURE**

**11. April 21: The Prospects for University Governance in the 21<sup>st</sup> Century**

Given what we have learned about governance to date, what predictions and forecasts can we make for its shape, structure and evolution in the decades ahead?

Readings:

*Required:*

Rosovsky, *Postscript: Omissions and Conclusions*, Chapter 16, Pages 289 – 300  
Altbach *et al*; *Part Four: Central Issues for the Twenty-First Century*, Chapters 12 - 13 (Pages 315 – 364)  
Duderstadt, James; *A University for the 21<sup>st</sup> Century*; Chapter 13: *The Future of the Higher Education Enterprise* (2000)  
Taylor, Mark; *Universities Are Heading Toward Academic Bankruptcy*; *New York Times*; August 14, 2010

*Optional/Recommended:*

Altbach *et al*; *Part Four: Central Issues for the Twenty-First Century*, Chapters 15 – 17 (Pages 409 – 490)

**12. April 28: Oral Presentations of Final Paper Research  
Course wrap-up and Evaluation**

**Final paper due by 5 pm Wednesday, May 14.**