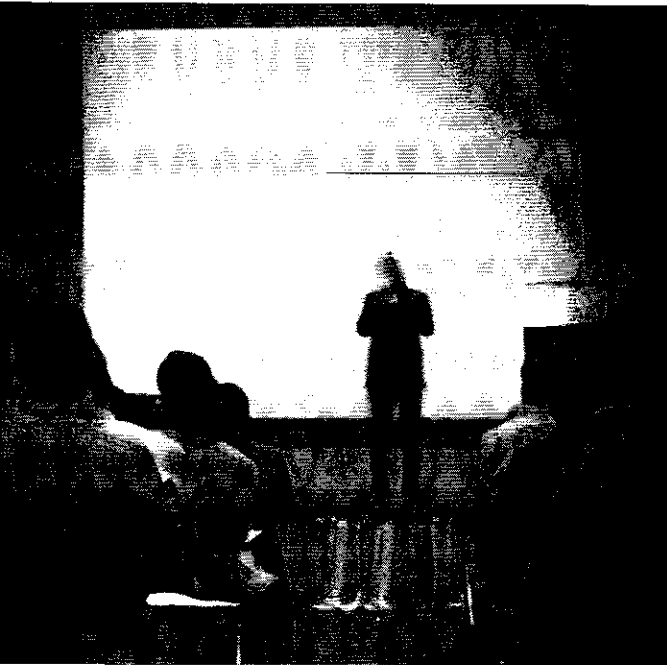# ACADEMIC LEADERSHIP AND GOVERNANCE OF HIGHER EDUCATION

A Guide for Trustees, Leaders, and Aspiring
Leaders of Two- and Four-Year Institutions

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Stylus

STERLING, VIRGINIA

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UNDERSTANDING ACADEMIC
ORGANIZATIONS

mong the most notable features of U.S. higher education are the
rich diversity of institution types and the inherent complexity that
accompanies their administration and management. This diversity
n not from any purposeful design but through a centuries-long evo-
y process that reflects the educational aspirations of myriad religious,
ial, social, and governmental entities seeking independently to
their higher education ideals within a democratic society that permit-
encouraged organizational individuality and creativity.

consequence of this historical evolution of higher education is the
us diversity of choice available to those seeking to attend a college or
ty. According to the Almanac of Higher Education (2011), there are
ccredited institutions of higher learning in the United States. Of
,672 are public, 1,624 are independent nonprofit, and 1,199 are for
vith nearly two thirds of all institutions offering degrees at the bache-
el or above. Excluded from this vast number of postsecondary institu-
e those organizations offering career and technical programs of less
o years and continuing education programs.

en this rich organizational diversity, how can the subject of adminis-
and management be approached to account for the vast differences
ist? Leadership and decision making by academic administrators,
ss of institution type, become more informed when they are first
anied by a basic understanding of the uniqueness of academic organi-
on several levels: typological, organizational, and contextual. The
of nuanced understanding of each of these levels increases as one

progresses through this conceptual hierarchy toward each individual institu-
tional level within it.

Typological differences among higher education organizations are largely
a function of historical development and institutional mission. Organiza-
tionally, colleges and universities share certain internal normative behaviors
and processes that differentiate them from nonacademic organizations.
However, each college or university must be understood within its own insti-
tutional context. Every institution of higher learning in the United States
is idiosyncratic. Each possesses a unique history and organizational culture
resulting from etiological circumstances determined by its founding; mis-
sion; level and source of resources; structure; and, most significantly, the
institution's organizational ethos, which characterizes how the stakeholders
have come to interact and behave collectively.

This chapter is meant to provide the reader with a broad overview of
the academic organization and its internal operations. It addresses several
important questions: How and why are academic organizations different
from other organization types? What are the central characteristics and
defining features of all academic organizations? Through what perspectives
can the academic organization best be understood? What theories of leader-
ship help us understand these complex organizations? What decision-making
models are effective in achieving institutional goals? A fundamental under-
standing of the challenges inherent in the administration and management
of higher education organizations can best be achieved by addressing these
key questions.

To address these questions, the chapter is divided into three parts. Part
One starts with a broad overview of academic institutions as special organiza-
tional entities. Within this section we examine the nature of organizations
in general and the characteristics of colleges and universities specifically by
applying key theories that help us understand their complexity and structures
and processes as different from those of other organizational types. A short
historical perspective begins the section to provide a useful context for the
reader. Part Two examines the operating structure of academic organizations,
first describing the different types of functions within colleges and universi-
ties and then presenting three models of academic governance. Finally, Part
Three focuses on decision making and academic leadership, and selected
theories that can help academic leaders better understand how to administer
the complex decision environments in which they work.

Institutions as Organizations: History, Typology, ...cteristics

...nt theme of this book is that effective administration and man-
...higher education institutions are best achieved when individuals
...dministrative roles throughout the organization understand and
...a shared fashion the unique culture of the institution they serve.
...nce and evolution of colleges and universities in America since
...th century is largely a study of the American spirit itself, for few
...itions so harmoniously reflect the ideals, aspirations, beliefs, and
... spirit of the United States and its people as the growth and
...t of its higher education organizations. Today's panoply of over
...utions include, but are not limited to, two-year community col-
...ional four-year small liberal arts colleges, regional and state uni-
...ge research universities, universities devoted only to professional
...(such as medical or engineering schools), proprietary institu-
...aries and rabbinical colleges, and a host of universities providing
...xclusively through online means.

...npressive number and array of institutions and the institution
...represent have been a particular problem when attempting to
... work performed and the outcomes produced by them in terms
...ividual institutional effectiveness and the shaping of public policy
...the overall efficacy of U.S. postsecondary education. In 1970 the
...oundation for the Advancement of Teaching (2012) adopted an
...l classification coding structure in an attempt to provide research-
...icy makers with a useful matrix institutions could be compared
...ted with between and among their many different types. Popu-
...n today as the Carnegie Classification, it has assumed a singular
...al role as the definitive source of categorizing and organizing col-
...universities into specific institution types for the purpose of
...d public policy development. In addition, various publications
...eral public have used these classifications as a sorting mechanism
...pting to rate institutions on a host of different measures.

...iding to the rise of new institution types, such as the for-profit
... the broadening of institutional missions to serve nontraditional
...pulations, the Carnegie Foundation has altered the classification
...umerous times to reflect a more layered and complex higher edu-
...em. The current classification system seeks to compare and con-
...rities and differences among and between institutions using data

provided by institutions themselves through the Integrated Postsecondary Education Data System compiled by the National Center for Education Statistics. The Carnegie Foundation notes that the greater level of specificity now seen in the classification system is based upon answers to three general questions: What is taught? To whom? In what setting? In addition to yielding a more definitive and descriptive richness of the U.S. higher education landscape, the latest classification system seeks to lessen tendencies by some observers to ascribe qualitative and hierarchical judgments between different types of institutions. The resulting typological matrix employed today involves scores of classifications and subclassifications that are impressive in their diversity and daunting in their comprehensiveness.

An understanding and appreciation of these organizational differences is beneficial to the effective operation of the academic enterprise. This chapter reviews important historical and organizational factors that distinguish higher education organizations from other organizational types, giving special focus to the concept of democratic ideals and shared governance principles that have come to characterize the manner in which the academy's stakeholders interact to fulfill their individual roles in the organization's management and operation.

Historical Development of the Academic Institution

Today's colleges and universities were born from an organizational and evolutionary lineage that ranks among the most enduring of humanity's intellectual and social creations. In addition to its longevity, when compared with corporate organizations as mentioned in chapter 1, the modern academy continues to enjoy high regard by the public at large and is viewed as one of the United States' most important social institutions. These institutions' status and longevity are all the more noteworthy since over the centuries colleges and universities have taken a plethora of forms, and complex decision-making structures have emerged within them to accommodate the various internal and external constituencies competing for authority and legitimacy. Three main factors have contributed to this impressive state of permanence: (a) historical antecedents that established strong intellectual traditions, (b) the application of democratic principles that has encouraged individualism in the expression of educational ideals, and (c) the richness of diversity among those who claim legitimacy in the execution of the organizations' missions. An appreciation of these three factors is important to render more informed management and administration of higher education organizations, which is why they are deserving of mention here.

ngevity of higher education organizations rests in part on the
rical traditions that have followed their development. In his nar-
he history of U.S. higher education, Lucas (2006) noted that
ors of the modern college and university essentially began in the
eriod, between the 11th and 15th centuries. Individuals with shared
nterests in learning about specific disciplines collectivized into
erned by representatives elected from within the organizations.
se elected into oversight responsibilities were reluctant to assume
gerial duties because of the friction it caused among and between
heir peers. Vestiges of those early frictions continue to exist today
temporary faculties. As organized entities, these shared social rela-
leveloped into intellectual collectives exhibiting an organizational
legitimized through the unique knowledge possessed by the orga-
members. Lucas notes that the strongest resemblance between the
niversity and the academic institution of today rests "in the sense
te, institutional identity, together with an elaborate system of
vileges, prerogatives, and special forms of academic authority"
his authority was exercised even in the earliest centuries of higher
when "once securely established, universities did not hesitate to
n public affairs, to air grievances before kings and popes alike, to
e, and to pass upon a variety of important legal and religious
(p. 69).
lative autonomy enjoyed by the medieval guilds provided a histor-
ation for new forms of higher education to emerge in the earliest
ne United States. Though the earliest American colleges barely
ny of the higher education organizations of today, the European
individual and independent guilds provided a historical template
ity and individuality that permitted highly varied organizational
ions on what higher education should look like in the develop-
learned society.
new U.S. society itself was emerging, these fledgling institutions
to a variety of environmental influences to help shape and sustain
ey were able to do so in part because of their independence and
to adapt through that independence. In his history of U.S. higher
Thelin (2004) noted that the richness of diversity in U.S. higher
emerged as much from influences of local, state, and regional
from any national trends that mirrored the development of
rom the time of the founding of Harvard College in 1636. Much
se of entrepreneurism that characterized the new American spirit,

higher education became, according to Thelin, America's "cottage industry"
(p. 41). Especially during 1785–1860, Thelin argued, higher education
witnessed

> a period of extreme innovation and consumerism, with virtually no gov-
> ernment accountability or regulation. Yet, it was not a period of chaos for
> higher education, because the college displayed a pattern of both initiation
> and response that was very much in tune with the nation's changing geo-
> graphic, demographic, and economic character. (p. 41)

The factors of historical and intellectual autonomy born of a rich and
embedded European medieval tradition, coupled with creative adaptation
demanded by the necessities of adjusting to the societal needs of an emergent
nation, produced a level of higher education organizational diversity that
would later become the hallmark of U.S. higher education.

Geiger (2005) chronicled 10 generations of development in the historical
evolution of the United States' colleges and universities, each lasting about
30 years from the founding of Harvard College in 1636 to the present. He
charted these generations from two perspectives: (a) student origins that
traced the diversity of students and (b) destinations that defined the out-
comes sought for those students as a result of their education. This origins
and destinations perspective is particularly useful when examining the diver-
sity and uniqueness of academic organizations because it speaks to the multi-
ple forces of individuals, religious bodies, governments, and foundations,
among others, that exercised significant influence in the formation of today's
wide array of institution types. Speaking to the democratic principles that
guided this evolutionary process, Geiger stated, "Underlying the fortunes of
individual institutions . . . lay fundamental questions stemming in large
measure from the . . . putative republican model: Who owned the colleges?
What was their mission? What should students be taught? And how could
they be controlled" (p. 45). As the societal needs of a growing United States
expanded and matured, new institutions of higher education emerged
throughout this generational progression, but, just as important, existing
institutions adapted to a changing environment in a fashion typical of the
entrepreneurial spirit of the nation. A noteworthy irony about U.S. higher
education has been its ability to adapt and conform to the external influences
that created and shaped it over the centuries while possessing an organiza-
tional DNA often steeped in inflexible tradition and a codified set of fixed
rights and organizational privileges that hearken to its earliest European
roots.

implications of these historical and developmental factors for the
:hat colleges and universities should ultimately be managed and
:red are significant. Basic to any managerial function within the
is a firm understanding of the particular mission of one's institu-
ich emanates from the societal and historical traditions it was
on. "The key to being effective and the ability to make change
:st with an accurate assessment of the type of organization in which
:" (Julius, Baldridge, & Pfeffer, 1999, p. 114).

:ure of Organizations

e explore the unique characteristics of academic organizations, it is
t to describe the nature of organizations. According to Scott and
>07), "Most analysts have conceived of organizations as *social struc-*
ted by individuals to support the collaborative pursuit of specified goals"
1deed, we live in a world of organizations. Businesses, civic groups,
, and other charitable entities are all organizations. Because of the
of organizations, for more than a century, scholars have been trying
r the question: "How does an organization go about doing what it
1 with what consequence for its people, processes, products, and
:e?" (Weick, 1976, p. 1).
study of organizations is at the core of much of higher education
d research, and serves as a foundation for much of this book, as it
n the production of knowledge relevant to problem solving or deci-
king within organizations (see, for example, Kast & Rosenzweig,
/hile this book is intended to be understood by readers without an
d knowledge of this subject, we feel it is important to provide a
rerview of the field. Attempts to understand and characterize organi-
academic and otherwise, focus on common elements: environment,
and goals, work and technology, formal and informal structures, and
Scott & Davis, 2007). Understanding the essence of an organization
looking at all its various aspects.
ironment. One cannot fully understand an organization without also
ing the environment in which it operates. "No organization is self-
r; all depend for survival on the types of relations they establish with
er systems of which they are a part" (Scott & Davis, 2007, p. 19).
rironment is generally composed of the actors, organizations, and
ttities an organization interacts with to survive and accomplish its
or colleges and universities, the environment significantly affects how

they operate. Whether an institution is located in Albany, New York, or Los
Angeles, California, the location will affect whom it serves, how it serves,
and the types of services and academic programs it offers. Moreover, how
and where resources are obtained will have an impact on the ways the organi-
zation structures itself (Pfeffer & Salancik, 1978). For example, whether an
institution's budget is derived from tuition, state appropriations, or dona-
tions will affect the emphasis the organization places on such functions as
student recruitment, lobbying, and fund-raising. Regardless of where an
institution is located, its operations will be affected by such entities in the
environment as local high schools, the city council, state government, non-
profit organizations, other higher education institutions, and so forth.

Strategy and goals. This second element of organizations determines what
an organization intends to accomplish and how it goes about achieving it.
At their core, organizations are entities designed to accomplish certain goals.
However, most organizations must deal with goal complexity. That is, there
is often a difference between the stated goals of an organization and the real
goals that motivate individuals. In addition, there are support goals, which
are necessary for maintaining the organization (Perrow, 1970). More than
just setting goals, organizations also develop strategies to achieve those goals.
Leaders make decisions about where they will operate, the type of product
or service they will produce, and whom they will hire to perform the work.
Most educational institutions, particularly those in the public sector, are
often constrained in that they do not always have control over their budgets
and have limited flexibility in terms of adjusting their workforce because
of tenure and union rules. Yet within whatever constraints that may exist,
organization officials must determine how best to achieve their goals. In
fact, the constraints can themselves drive strategy. For example, some public
colleges and universities have begun to offer courses in other states, as it is
easier to expand outside their home state because of fewer regulatory con-
straints elsewhere (Lane, Kinser, & Knox, in press). Being able to operate
in the midst of goal complexity and strategize within constraints is a key
characteristic of successful academic administrators.

Work and technology. The process for achieving goals and implementing
strategies is the *work and technology* of the organization. "*Work* describes the
tasks that the organization needs to accomplish in order to achieve the goals
that it has set for itself" (Scott & Davis, 2007, p. 21). Analysis of work looks
at a variety of different factors, including the amount of interdependence
among different parts of the organization, which affects how the work is
accomplished and how actors interact. For example, units in academic affairs

be much more independent of each other than units in student
(this phenomenon, *coupling*, is discussed later in the chapter), often
g in a higher degree of interaction among student affairs administra-
different departments than among faculty members in different units.
nalysis also looks at such things as the flow of work and the necessary
nd knowledge of participants. For a faculty member in a college of
d science of a large university, for example, the dean is much less
o have direct knowledge of his or her disciplinary expertise than if the
member worked in a college of education. Departments in a college
cation tend to have greater affinity with each other than do those in
d science colleges, which include a range of departments from English
mistry. The result is that a dean of arts and science will have to rely
on the advice of others to assess faculty member performance than
a dean of education.

chnology is the way the organization transforms inputs into outputs.
case, we are not specifically focusing on items such as computers,
hones, and electronic tablets, although they are increasingly impor-
omponents of how institutions achieve their mission. Colleges and
sities have multiple outputs, but for our purpose here, we focus on the
ion of students. In this case, an analysis of a college's technology
look at how an institution transforms a newly admitted student into
uate. The focus would be mostly on curriculum design, or on what
s and requirements a student has to meet to earn a degree. How that
occurs varies by academic program and by institution. Understand-
work and technology of academic institutions is a core component
book.

rmal and informal structures. All organizations are made up of formal
formal structures. The *formal structures* of organizations are usually
nted on organizational charts and in job descriptions. They are a
nation of the official hierarchy, in terms of reporting lines, job respon-
es, and the rules and regulations that guide the work of the organiza-
Organizations are also replete with informal structures, which can
mes prove to be more important or influential than the formal struc-
The *informal structures* of an organization include culture and climate,
cial power structures, external social networks, and internal friendship
These informal aspects influence the effectiveness of the formal struc-
nd are often part of the organization's work processes.

ople. At their core, organizations are composed of people. This detail
less true for academic organizations that comprise students, faculty,

staff, administrators, and alumni. However, one of the difficulties in under-
standing this aspect of the academic organization is identifying which people
are part of the organization and which are not. Students are not employees,
but it is difficult to imagine an educational institution without students.
Alumni are neither employees nor students, but many are often active on
alumni councils, provide substantial resources to the organization, and some-
times exercise influence over institutional decision making. Beyond under-
standing who is involved, it is also important to know what induces people
to participate in the organization (see Barnard, 1938; Simon, 1945/1997). In
addition, age, gender, race, knowledge, and skills can affect how people
interact with each other and perform on behalf of the organization.

Organizational Boundaries and Systems

There are numerous schools of thought in the study of organizational theory,
but one of the most relevant to understanding the operation of colleges and
universities is systems theory, which asserts that organizations are made up
of different components, and the relationship between those components
varies based on the system. "Organizations we must consider as something
in which there is an interdependence between the several organized parts but
in which this interdependence has degrees" (Wiener, 1954, p. 322). This
notion of degrees of interdependence led to the concept of organizational
coupling, which describes how tightly or loosely connected two components
are (see p. 31 for a discussion of coupling). However, systems theorists did
not only explore the relationship between internal components.

Open systems theorists have studied the extent to which organizations
operate in conjunction with their environment.[1] In open systems the stability
of the organization is dependent on its ability to obtain adequate resources
from its external environment (Buckley, 1967). As discussed previously, no
organization can be self-sufficient. Organizations need, for example, employ-
ees, consumers, and suppliers. Most times these individuals are found in the
environment. Indeed, engagement with multiple stakeholders can sometimes
blur the boundary of the organization. As Scott and Davis (2007) explain,

> This is not to say that open systems do not have boundaries. They do, of
> course, and must expend energy in boundary maintenance. But it is of
> equal importance that energies be devoted to activities that span and, more
> recently, redraw boundaries. Because of the openness of organizations,
> determining their boundaries is always difficult and sometimes appears to
> be a quite arbitrary decision. Does a university include its students within

oundary? Its alumni? Faculty during the summer? The spouses of stu-
s in university housing? (p. 95)

ile boundaries do exist, identifying their exact location can be quite
. A useful approach put forth by Pfeffer and Salancik (1978) is to
individuals not as unitary actors who have to be on one side of the
ry or the other. Rather, it is a certain subset of their actions that exist
he organizational boundary. However, while this approach is helpful,
not provide total clarity. As Scott and Davis (2007) go on to note,
ctions can affect more than one system. For example, a student
ng one institution may be viewed as a newly admitted student at
ool he or she is transferring to, or a graduating undergraduate may
late in a different graduate school.

other important aspect of systems is that they usually comprise multi-
systems and are often themselves part of larger systems (Scott &
2007). For example, the University at Albany in New York is com-
f several different colleges and schools, each of which represents a
t subsystem within the organization. Moreover, the University at
is one of 64 different campuses (or subsystems) within the State
ity of New York; each of these campuses has its own organizational
and operating norms but is connected as part of the State University
York system.

ally, Scott and Davis (2007) argue that the complexity of their envi-
ts fosters the creation of great colleges and universities. Their asser-
based on the law of limited variety put forth by Pondy and Mitroff
"A system will exhibit no more variety than the variety to which it
n exposed in its environment" (p. 7). The idea here is that organiza-
at develop strong boundaries to buffer themselves against the com-
s of the environment fail to evolve and grow. "Great universities do
e in deserts or other sparsely inhabited areas" (Scott & Davis, p. 97).
icur. We believe that great universities arise from dealing with com-
cial and scientific issues.

udy of Academic Organizations

s a college or university? A deceptively simple question, with no clear
it has been discussed by a wide array of scholars and education
onals. Still, no common answer exists. Great thinkers such as Adam
(1776/1991), John Henry Newman (1852/1990), and Thorstein Veblen
ave all contributed to the discussion, debating the role of teaching,

research, curriculum, knowledge creation, and knowledge dissemination. The scholarly study of colleges and universities as unique organizations began in the early 1960s and has rapidly developed since that time. In a 1974 review of the literature, Peterson found that fewer than 200 research-based articles dealing with the subject had been published at the time. Since then hundreds of studies have surfaced in academic journals, books, book chapters, reports, dissertations, and conference papers. In sum, the discussion about the nature of higher education is quite expansive, and many different terms have been used to describe academic organizations. There is no way to provide a complete overview of the study of higher education institutions as organizations. Next, we describe three of the most popular theories on the topic and then discuss common characteristics of academic organizations.

Theories About Academic Organizations

Three of the most classic theories pertaining to academic organizations are organized anarchies, loosely coupled systems, and professional bureaucracies, which are only briefly described in this section. There are many more, some of which are discussed throughout this book.[2] These three provide a base for much of what is discussed throughout this volume.

Organized anarchy. Since the seminal study by Cohen, March, and Olsen (1972), academic organizations have been labeled as *organized anarchies*. Such organizations contain three common characteristics, the first of which is a high degree of goal ambiguity. While participants in the organization may have a general idea about the purpose of the organization, specific goals are often in dispute. Administrators of each department and each faculty member may have a different idea about the purpose of the college or university and their role in it. This is in large part because of the multiple functions performed by the academic organization and the high level of professional autonomy experienced by faculty. Second, decision-making processes are not clear. While the system of decision making may be familiar, the exact nature of the process changes based on the nature of the problem to be solved, the solutions available at any one time, and the individuals involved in the process. Third, participation in the decision-making process is fluid. People continually join and leave academic organizations, and their membership in decision-making groups varies over time, depending on when they choose to be involved or show up.

Loosely coupled systems. Coupling describes the extent to which departments in an organization are aligned (Glassman, 1973). Coupling can be

ose or some gradient in between. Loose coupling simply connotes
nythings," that may be tied together either weakly or infrequently
or with minimal independence (Weick, 1976, p. 5). With tight
the anythings are highly connected, with a high degree of depen-
ademic organizations are made up of tightly and loosely coupled
Departments in administrative and support divisions tend to be
tly coupled than those in academic affairs. In most colleges and
es, academic affairs is a confederation of loosely aligned academic
nts that have minimal interaction with each other, and decisions
ment heads have little impact on other units. In many ways, they
arately from each other and can even pursue competing goals. For
the faculty in one department may try to improve its rankings by
selectivity and reducing the number of students it accepts. Faculty
ent department may try to increase revenue production by accept-
students into its progam. It is likely that neither decision will affect
department. Of course, some academic departments are more
upled than others. Some decisions made by the faculty in depart-
at provide support courses such as English and science may affect
artments that rely on those courses. Departments that offer joint
ograms or interdisciplinary courses will be more tightly coupled
se that do not. Academic administrators need to be aware of the
that exists within their divisions.

ssional bureaucracy/adhocracy. Mintzberg (1979) identified five basic
nts of organizations. The operating core is the employees who are
involved in providing the core services (e.g., faculty). Those in the
apex, presidents and vice presidents, are responsible for the overall
of the organization. The middle line consists of department chairs,
d directors who connect those in the strategic apex to the operating
ddition, those in the technostructure, such as the human relations
the institutional research staff, are responsible for setting operating
es and standardizing the work efforts. Finally, the support staff,
he facilities management team and dining services, provide services
ot directly aligned with the production of the main product. Each
components has a tendency to pull the organization in a different
. Academic organizations have been commonly considered to be
nal bureaucracies because of the dominance of the operating core in
culty members are hired because of their professional knowledge
a high degree of autonomy to perform their work. This tendency
ademic organizations to contrast with other organizations that

attempt to implement internally a high degree of standardization among the workers they hire.

Professional bureaucracies are most common in environments that are complex but stable. As our environments become increasingly unstable and dynamic, some colleges and universities may come to resemble adhocracies. Adhocracies, like professional bureaucracies, rely on professional staff, but the structure used to organize employees becomes more fluid (Mintzberg, 1979). Employees with different specialties are grouped together to deal with specific problems that arise in the environment. For example, the rise of interdisciplinary faculty teams to address complex social or environmental problems may be viewed as a move toward the adhocracy, where departmental structures become less important than the problems the organization chooses to address.

Characteristics of Academic Organizations

As organizations tend to have common components, academic organizations also have common characteristics. The theories described in the preceding section provide different lenses an academic administrator can use to evaluate the operations of an academic organization. We know that academic organizations are characterized by high levels of goal ambiguity, client-focused missions, highly professionalized staff, unclear decision-making processes, and environmental vulnerability. These characteristics, first described by Baldridge, Curtis, Ecker, and Riley (1978), will be found in most public and private nonprofit organizations. However, while some of these characteristics may be found among for-profit institutions, they are not likely to be as universal as in other sectors because of their different business models. Some of these characteristics are derived from the previously discussed theories.

Goal ambiguity. Whereas most bureaucratic organizations operate with high degrees of organizational rationality—that is, they are focused on the attainment of a specific goal or goals—academic organizations possess significant goal ambiguity. Do these organizations exist to teach or to perform research and create new knowledge? Do they provide services to the community, the state, or the nation? What goals are ascribed to the organization by its administration, faculty, trustees, alumni, students, parents, and community? Because of the diverse expectations that different constituencies place upon colleges and universities, higher education institutions are susceptible to myriad purposes that may be consigned to them by organizational stakeholders. Not only do they often try to be all things to all people but they

ave a single mission; because their preferences are unclear, they also
.ard to decline additional goals (Baldridge et al., 1978).

nt-focused missions. As organizations designed for and intended as
: of social transformation, academic organizations are client serving
: purpose. Academic organizations serve a cadre of clients, such as
:, governments, foundations, businesses, and local community orga-
.s. It may also be argued that they serve parents, alumni, and donors.
: of the focus on multiple clients, academic organizations are often
n multiple directions, and services provided are often complicated
uire highly professionalized staff. For example, the educational proc-
ghly complex, based upon the nature of the content to be taught, the
gical skills of the teacher, the learning styles of the student, and how
rning can be empirically assessed. Unlike manufacturing organiza-
hich employ static processes and machinery to yield a given product,
and universities grapple with problem-posing technologies in at-
ig to derive their educational products (i.e., a graduated student).
thora of programs and approaches to improve teaching and learning
ve been attempted at the local, state, and federal levels for decades
ll not yielded a consistent and broadly accepted teaching template
for application in all educational circumstances. "Serving clients is
: to accomplish, to evaluate, and show short-term successes. Consid-
le entire person is a holistic task that cannot be easily separated into
outine technical segments" (Baldridge et al., 1978, p. 22).

ghly professionalized staff. Professionalism is perhaps the most impor-
the five distinct characteristics of colleges and universities. Baldridge
978) list four aspects of professionalism that affect the interpersonal
cs in academic organizations: (a) a demand for work autonomy, (b)
dency to have divided loyalties between one's discipline and the orga-
is he or she works for, (c) the strong tension between professional
nd bureaucratic expectations, and (d) the expectation of professionals
valuated by their peers (p. 22). Of these components, the inherent
between formalization and professionalism provides the most consis-
sh point between administration and faculty. As Hall (1977) re-
"All the studies . . . have concluded that professionalization and
zation are incompatible. The more professionalized the work force,
re likely that formalization will lead to conflict and alienation"
.

Unclear decision-making processes. The fourth area of departure between academic organizations and other organizational types rests with the technologies used to produce outcomes. The many variables that account for differences in students and how they learn translate into equally challenging ways to teach them. Students access and absorb information differently according to learning style, and methods of instruction may vary within and between disciplines. The process of education is highly fluid and must be modified according to a host of factors associated with the student, the content taught, and the institution providing the education. Assessing success in meeting educational goals is highly elusive for this very reason.

Environmental vulnerability. The fifth distinguishing characteristic is the academic organization's environmental vulnerability. Hall (1977) noted that organizations vary in the extent to which they are vulnerable to environmental pressures, and the level of environmental influence is correlated to an organization's dependency upon external resources. This relationship has important implications for the manner in which an organization is managed since its structure and processes will be required to conform to the expectations and resource opportunities placed upon it by the environment. This arrangement is especially true in the case of academic organizations, which can vary in their susceptibility to environmental pressures depending upon their reliance on external factors:

> When professional organizations are well insulated from the pressures of the outside environment, then professional values, norms, and work definitions play a dominant role in shaping the character of the organization. On the other hand, when strong external pressure is applied to colleges and universities, the operating autonomy of the academic professionals is seriously reduced. (Riley & Baldridge, 1977, p. 6)

Higher education institutions are now buffeted by pressures from a wide range of environmental actors, greatly limiting operating autonomy. For example, in many parts of the United States, the number of high school graduates is shrinking, creating greater competition among the institutions for traditionally aged college students. Nontraditional students often need to balance family and work life in addition to their studies and expect the institution to be more flexible and accessible. The availability of financial resources provided by states and private donors affects an institution's operating ability and staffing levels. Moreover, institutions are expected to be

civic partners and good neighbors. All these expectations, and oth-
k to confine and define the work of the institution.

five distinguishing characteristics of academic organizations dis-
in this section provide a useful, but still incomplete, inventory of
of these unique organizations. Informed management and adminis-
require an understanding of additional factors endemic to the inter-
etween and among the various stakeholders in the academy. No
on of the organizational context of colleges and universities, when
ng how these organizations differ from other organizational types, is
e without also exploring the cultural determinants of difference that
well. These cultural factors relate in part to the roles assumed by
incumbents throughout an organization, not only as they may affect
tionship between administration and faculty as earlier discussed, but
the interaction among faculty members themselves, where tensions
anizational conflict often present themselves in bold fashion.

izational Culture and Climate in Higher Education

ic organizations possess a distinct culture compared to other organi-
types. Though the higher education literature on administration and
ment tends to focus heavily on the role of institutional leadership in
and directing an organization—especially as it pertains to the role
resident—the distinctive cultural aspects of academic organizations
marily in the value system of the faculty, which evolved over many
es. While academic organizations tend to share common cultural
eristics, the culture and climate of a specific college or university often
nction of the relationship between its faculty and administration, for
here is an inherent natural tension flowing from the incompatibility
essionalization and formalization. Moreover, campus culture is also
influenced by the characteristics of the student body. For example,
r an institution primarily enrolls mostly full-time traditional students
-time nontraditional students can have a significant influence on the
culture.

lture is different from climate, and we employ the definitions of both
ed by Austin (1994) to distinguish between the two: "Whereas culture
s to the embedded and stable beliefs, values and norms of a group,
refers to members' assessment, views, perceptions, and attitudes
various aspects of organizational life" (p. 52). Austin underscored the
or those serving in academic administrative roles to understand fully

the notion of institutional culture but, as importantly, to recognize that
organizational culture is not monolithic but fragmented, as subcultures exist
within and beyond the academy at multiple levels. In discussing the various
cultures related to faculty, Austin noted,

> faculty cultures include the culture of the academic profession, the culture
> of the academy as an organization, the cultures of particular disciplines,
> the cultures of institutional types, and the culture of the particular depart-
> ment or unit where the faculty member has a position. Deans, department
> chairpersons, and institutional researchers seeking to support the work of
> department and college leaders must understand the values of each of these
> cultures. (p. 48)

By understanding faculty culture, institutional leaders can understand their
own faculty better, and faculty members can better understand one another.
Sensitivity to faculty cultures by administrators yields a more informed and
astute leader capable of better decision making since one can more accurately
project the consequences of future decisions based upon the values and
norms already embedded in the organization. "The key to being effective
and the ability to make change begins first with an accurate assessment of
the type of organization in which you work" (Julius et al, 1999, p. 114).

But how does one assess culturally the type of organization one helps to
lead? It is first important to distinguish between the culture of the academy
and the culture of the institution, because each operates at different levels
and exhibits different characteristics. The culture of the academy is present
throughout U.S. higher education and is based on a concept we shall call
collective individualism, whereby the values of personal independence and
professional autonomy—held by individual faculty members, legitimized
and protected through the doctrine of academic freedom—are juxtaposed
with a broader social and institutional value of shared intellectual collegiality,
forming an academic community that exhibits a socially cohesive body in
appearance but in actuality is a loosely aligned confederation of independent
scholars. The concept of faculty as an amalgamation of independent contrac-
tors is not an inaccurate depiction when one considers variations in remuner-
ation patterns among faculty members even at the same institution based on
such variables as scholarly discipline, academic rank, course load, overloads
to the normal teaching load, additional compensation for nonteaching duties
needed outside the normal teaching load, ability to attract external grant
sources, and a variety of other factors all negotiated through individual con-
tractual relationships or collective bargaining agreements. Understanding the

ot of collective individualism requires higher education administrators
ance the group identity of the faculty with the individual professional
held by each member of that body. This tension between individual-
faculty members and the collective interests of the faculty as a group
ghlighted by Gumport (2000), who noted the "chasm" that exists
en faculty self-interest and a broader concern for the common good,
at "at the most basic operating level, the tension appears when faculty
ers try to get what they can from their institutions rather than puzzling
ow best to serve them" (p. 9).

he culture of the institution is specific to the organization itself and is
ive of the idiosyncratic nature of each and every college or university.
he ethos or personality of an organization, built from a sense of shared
plishment and distinctive purpose. This topic was addressed by Clark
, who examined the psychosocial determinants of a group's collective
cement of its organization's history and achievements as an institu-
saga. He defined *saga* as "a collective understanding of a unique
plishment based on historical exploits of a formal organization, offer-
rong normative bonds within and outside the organization" (p. 178).
al to Clark's definition of saga are the themes of history, uniqueness of
ganization itself, and the shared value placed upon that uniqueness by
ganization's members.

While the concept of saga is useful in understanding the uniqueness
lividual academic organizations, other factors affect the culture of an
ation. One of them is the collective personality of the institution's
y. The existence of tenure and its role as a protector of academic free-
is an important factor in shaping that personality. Though the merits
ure are increasingly debated as financial pressures and a need for more
ational fiscal flexibility rise, the presence of tenure has provided conti-
and stability to an institution's faculty and thus has contributed to the
gence of a particular group dynamic unique to that institution. This
menon is widely overlooked in debates over the benefits or challenges
ure. Imagine how the culture of an institution would change if all its
y members were free agents, unbound by tenure and institutional loyal-
o ply their intellectual skills competitively in an open market. Such a
rio would result in a significant loss of institutional memory and con-
e to a fluid, rather than stable, organizational personality.

o assess institutional culture, a new higher education administrator will
it from early, strong communication between and among constituents
nduct an expansive inventory of the attitudes and perceptions of the

organization by those within their oversight. This process will allow the
administrator to determine not only the issues or concerns most important
to the group but the overall collective mind-set as well. Such a dialogue
should include a thorough understanding of the organization's history, its
norms, and the nature of its influential relationships and power structures.
If constituent compliance to decision-making actions is to occur effectively,
leaders must be perceived by others as having a prior working understanding
of the organization, its history, and its constituents beyond the administra-
tive issues at hand. The concept of *institutional fit* is appropriate to this
discussion. Many failures in academic leadership occur when the incumbent
is unable or unwilling to incorporate, adapt to, or, at a minimum, under-
stand an academic or institutional culture that has been shaped over decades
or even centuries.

Having examined the typological, organizational, and contextual differ-
ences that exist in higher education organizations, and having given added
attention to cultural factors that influence administrative decision making,
we can now examine the theoretical models that have emerged to character-
ize colleges and universities as unique organizational types. Specific to this
examination are issues of legitimacy and authority in matters of institutional
governance and decision making, as various stakeholders, internal and exter-
nal to the institution, stake claims to their spheres of influence.

Part Two
Operating Structures of Colleges and Universities:
Administrative Units and Governance Models

This book focuses specifically on the academic affairs of colleges and univer-
sities, but these functions do not take place in isolation from other aspects
of the institution. According to Kerr (1963), the 20th century witnessed the
birth of the "multiversity," a conglomeration of the following:

> the community of the undergraduate and the community of the graduate;
> the community of the humanist, the community of the social scientist, and
> the community of the scientist; the communities of the professional
> schools; the community of all the nonacademic personnel; the community
> of the administrators. (p. 14)

These communities then connect with other communities of elected offi-
cials, foundations, nonprofit organizations, industries, alumni, and local

als. Throughout this book, we describe various external communities
hose internal communities that directly relate to academic affairs. How-
 many colleges and universities are complex organizations with hun-
s or thousands of support staff members who are responsible for
rthing, from making sure the sidewalks are clear of snow to overseeing
tudent judicial office. Many of these functions are mentioned through-
he book, and although they are not our focus here, they are important
in some cases vital to the performance of the institution.

inistrative Units

iis section we describe some of the more common functions in the
emic organization. Each college and university organizes these units in
rent ways. For example, in some institutions the director of athletics
rts to the president, whereas in others he or she may report to the vice
dent for student affairs. Institutions also use different labels for similar
. Those responsible for the cocurricular functions of the institution may
rt to a vice president of student affairs, student services, or student suc-
 Our purpose here is to provide readers with a basic understanding of
most common units in a college or university.

Moreover, studying an institution's organizational chart can yield
hts about the importance the institution places on particular units and
hilosophy about different functions. Designating the athletic depart-
t as a direct report to the president may suggest the importance the unit
n the organization. Similarly, whether the office of residence life reports
ie vice president of finance or the vice president of student affairs may
est whether the institution places greater value on the revenue-
ucing aspect of residence halls or the student development role they
 for their residents.

Academic affairs. This unit is at the core of the organization. It is usually
tured around academic disciplines and fields of study. Faculty members
generally organized into academic departments. In larger institutions,
ral departments are grouped into schools or colleges, which are led by
emic deans. The academic deans then report to a chief academic officer,
lly referred to as a provost or vice president of academic affairs. In some
ler institutions, department chairs report directly to the institution's
f academic officer. Divisions of academic affairs may also have separate
s that oversee research and graduate education. In some larger institu-
s with expansive research and development enterprises, vice presidents

of research report directly to the president. Also, in response to concerns
about the lack of attention paid to undergraduate education, medium and
large institutions have developed support structures for academic advising
and support outside the traditional academic departmental structure. These
academic advising and support units may be placed in the student affairs
division. The functions of academic affairs are widely explored throughout
this volume.

Athletics. College and university athletics is a phenomenon that is some-
what unique to U.S. higher education. Since the latter part of the 19th cen-
tury athletics has been a significant part of collegiate culture. Institutions
now provide an array of athletic opportunities for their students, and conse-
quently athletics has emerged as a significant administrative function for
many colleges and universities. Most college students only participate in
intramural competitions often organized by an office of recreational sports,
usually affiliated with the institution's recreation center, or an athletic or
physical education department. Most attention, however, is given to inter-
collegiate athletics, wherein teams from different campuses compete against
each other. An athletic director serves as chief athletics officer for an institu-
tion and oversees coaches, compliance with athletic rules, and marketing of
teams. In addition to the coaching staff, larger athletic departments may also
comprise academic support staff, athletic trainers, compliance officers, and
marketing personnel.

The major governing body of intercollegiate athletics is the National
Collegiate Athletic Association, a private nonprofit organization led by a
president who reports to a governing board made up of college and univer-
sity presidents from across the country. The association is divided into three
separate divisions (DI, DII, DIII); DI is subdivided. The largest number of
schools participates in DIII, where student-athletes are treated no differently
than the rest of the general student population in that they receive no special
living accommodations, facilities, or scholarships. In contrast, the other two
divisions offer varying amounts of athletic scholarships and special treatment
for student-athletes, depending on the school, league, or division. Institu-
tions across all three divisions offer a wide range of athletic opportunities for
men and women, but it is DI men's football and basketball that often draw
the most attention and controversy, primarily because of the expense of these
programs as compared to expenditures on academic programs at the institu-
tion as well as the revenue produced from athletic contests that comes from
ticket sales, television network rights, and sponsorships from corporations
and individuals associated with the schools.

uxiliary services. Colleges and universities often operate several revenue-
cing activities, commonly referred to as auxiliary services. These opera-
are not core to the academic enterprise, but they provide important
rt functions. Examples of such operations include bookstores, dining
nd other eating facilities, residence halls, and so forth. They generate
y for the institution through charging fees such as for staying in a
nce hall or through selling merchandise such as food at the dining hall
weatshirt at the bookstore. A common trend now is for institutions to
urce these services to an external provider. It is not uncommon to see
nes & Noble bookstore sandwiched between Wendy's and Dunkin'
ts in the student union. In most cases, the institution benefits by hav-
ne provider pay a service fee to set up shop, as well as mandating that
rovider make certain capital improvements to the facilities. Also, some
utions have begun to outsource the care and maintenance of their resi-
halls to outside vendors. Rather than hiring and maintaining its own
the college or university will pay a fee for these services to be provided
external entity.

Finance and administration. Colleges and universities are employers that
manage hundreds or thousands of employees. This requires administer-
ayroll, health care, and retirement benefits, in addition to managing the
ving door of student workers and part-time faculty and staff. They are
service providers that charge tuition and fees for those services. The
ution must track student accounts and handle their payments and facili-
a vast array of financial aid from the federal and state government as
as from private sources. These functions usually are managed by a large
ber of human resource experts, professionals highly knowledgeable in
nt aid, and other administrative personnel.

Facilities management. Colleges and universities are often cities within
. Their campuses usually contain dozens of buildings that house a vari-
f different structures from classrooms to auditoriums to ice hockey
s. In addition to the buildings, they own and are responsible for roads,
valks, parking lots, gardens, fountains, and all of the rest of the campus
nds. Moreover, some parts most people do not see, including the thou-
s of feet of steam tunnels, vents, and wires required to keep buildings
n and the lights on. All of this requires a vast army of electricians,
bers, architects, engineers, landscapers, and many others to maintain
acilities and grounds.

Institutional development. In an era of tightening budgets, the functions
stitutional development divisions have become even more important.

Academic organizations usually maintain communications and marketing
staff to help promote the institution as well as manage media inquiries and
public relations problems. Public and private institutions are increasingly
focused on raising funds from private donors and commit resources to main-
taining strong relationships with alumni and building relationships with
potential donors. Most public colleges and universities (and large private
institutions) now maintain (or share) lobbyists at either (or both) the state
and federal levels as a means of influencing education policy and funding
decisions. Because of the connection between institutional reputation and
resource acquisition, we are increasingly seeing the functions of fund-raising,
lobbying, alumni relations, and publications/communications offices merged
to better integrate the institution's external messages. Such merged functions
are often referred to as *institutional advancement*, an activity that has grown
in stature and visibility because of the heightened competition among col-
leges and universities for students as well as for public and private resources.

Student affairs. While academic affairs are at the core of the enterprise,
the cocurricular experience is also a meaningful component of college life,
particularly for traditional undergraduate students. A growing number of
nontraditional students, however, are also taking advantage of student activi-
ties and support that are often part of student affairs divisions. When consid-
ering student affairs divisions, what usually comes to mind are student
organizations, campus activities, and the like, but such divisions are much
more diverse, offering students an array of support functions, such as coun-
seling, mentoring, and peer support; community service engagements; and
leadership opportunities as part of student government and programming
councils. These units provide resources for students with disabilities as well
as students united through race, culture, or sexual orientation. Other offices
generally overseen in this division are judicial affairs, career services, and
recreational sports.

Other units. There is no way to capture all the different types of enter-
prises a college or university may be engaged in, and the following are just
some examples of these activities. Some institutions have broken into the
travel industry, managing airports and hotels. Those with medical schools
often have responsibility for a hospital as well. To aid students and staff with
young children, they provide day care facilities on campus. As an extension
of their academic mission, several institutions also support academic presses,
which publish scholarly books and journals. In addition, a growing trend is
for colleges and universities to host research parks and small-business incuba-
tors for facilitating the development of patentable and profitable research
products.

of Academic Governance

ational theory attempts to provide insight into the structure and
of organizations. Given the various differentiating and unique fea-
academic organizations previously described, a major challenge for
ducation theorists over the decades has been how to adequately char-
these features in prevailing theoretical models of governance. Older
of organizational understanding largely rooted in traditional bureau-
eories were deemed inadequate for application to higher education.
hly complex structure and process of academic organizations, with
ultiple centers of decision-making authority, prompted the creation
models.

ree theoretical models of governance now predominate in the litera-
ese distinct perspectives view authority and decision making in the
y through structural (bureaucratic), relational (collegial), and legisla-
litical) frameworks. These governance models provide a useful per-
e in understanding the interrelationship between and among the
ational participants based on such factors as power, persuasion, or
ve influence. In reality, considerations of all three models are appro-
nd helpful when attempting to understand the administration and
ment of colleges and universities.

e *bureaucratic model.* In his seminal book on bureaucratic theory,
(1947) described an organization as a system of hierarchical roles and
chains of command acting in concert toward the realization of a set
ed goals. Central to Weberian bureaucratic theory is the linear and
relationship among decision makers based on role and rank in the
ation and the formalization of rules and policies those organizational
follow. In an early attempt to apply existing bureaucratic theory to
education, Stroup (1966) sought to characterize academic organiza-
gainst these bureaucratic features. To do so was understandable since
reaucratic paradigm appropriately conforms to many of the processes
uctures found in colleges and universities.

s not surprising one would attribute traditional bureaucratic descrip-
contemporary higher education organizations given their enormous
xity. During remarks at a meeting of independent college presidents
undation directors, Carnegie Foundation for the Advancement of
ng's president, Vartan Gregorian (2008), illustrated this trend, noting
day's colleges and universities have become mini city-states, complete
otels (residence halls), police departments (security departments), res-
s (dining halls), hospitals (health centers), and other operational func-
hat have grown in complexity and costliness over the years.

Yet for all the applicability of the bureaucratic model to academic orga-
nizations, significant weaknesses exist. According to Riley and Baldridge
(1977), the bureaucratic model focuses more on formal power and the hierar-
chical structures that define it than the informal power relationships that
often exist in organizations and that often change over time depending on
the issue or policy being debated. Another weakness in the bureaucratic
model can be its preoccupation with policy execution over policy formula-
tion. The model also tends to minimize the role of multiple interest groups
and political struggles that exist among them in campus settings.

The collegial model. A second way academic organizations may be viewed
is as a community. This thesis was first introduced by Millett (1962), who
believed that the application of hierarchical principles to colleges and univer-
sities failed to account for the internal decision-making pluralism that exists
in higher education organizations. Millett argued that a focus on hierarchy
emphasized the role that absolute authority played within an organization
since the concept of bureaucracy implies formal power structures and a sys-
tem of superior and subordinate relationships:

> In terms of their own internal organization our colleges and universities
> have sought arrangements which would equally reflect [a] concern to avoid
> absolute authority. In this endeavor the colleges and universities have built
> up a practice of community as the fundamental basis of organization.
> (p. 61)

In his book, Millett highlighted the various institutional constituencies that
participate to varying degrees in institutional decision-making processes, cit-
ing the roles that students, alumni, and faculty all play in academic gover-
nance. As president of Miami University of Ohio when he published his
book, Millet likely was reflecting on the administrative challenge of accom-
modating multiple interests in a spirit of group accommodation.

One central theme of the collegial model is the values that members of
the faculty share as they relate to the academic profession itself and their role
within the decision-making structure of the institution. Implied in the
model is a strong sense of collegiality within the professoriate. In her discus-
sion of the culture of the academic profession, Austin (1994) noted how
faculty members share a commitment to intellectual honesty and fairness, as
well as a commitment to the concept of a community of scholars whose
collegiality guides their interactions and their involvement in institutional
decision making. "However, these values are expressed in different ways
depending on institutional and disciplinary contexts" (p. 49).

While the collegial model accurately portrays an organization's having [a]ccommodate multiple constituencies in a harmonious—we hope—[ti]on, the weakness of the model rests in its failure to account adequately [t]he decision processes themselves as multiple constituencies compete in the decision-making environment. Decision making is a consequence [au]thority, and the collegial model is largely silent on the issue of which [cons]tituencies hold primacy over certain issues in the governance of colleges [and] universities. This weakness was later addressed in research that explored [a]uthority structures of the academic enterprise and how competing inter[est g]roups influence organizational decision making through the exercise of [polit]ical influence. This line of inquiry produced the following third model [of ac]ademic governance.

The political model. The paradigm of viewing academic governance as a [polit]ical process and colleges and universities as independent political sys[tems] was first proposed by Baldridge (1971). In this model, the campus is [mad]e up of a set of competing interest groups whose participation in the [deci]sion-making process is fluid, depending on the nature of a particular [issue] confronting a constituency at any given time. Policy formation serves [as a] focal point since the creation and adoption of policy is directly related [to in]stitutional mission and direction and the various operational decisions [that] flow from it. As a consequence, conflict among organizational interest [grou]ps is inherent. Such interest groups are not limited to those constituen[cies] in the institution itself but extend to external parties that may hold [veste]d interests in the organization as well.

[Colleges' and universities' fragmented and complex decision-making [proce]sses lend the political model much credibility in the study of academic [gove]rnance. The reality of academic governance is that decisions most often [are n]ot made unilaterally by a central authority but follow prescribed systems [of re]view and consultation with a variety of individuals or entities, depend[ing o]n the nature of the decision to be made:

[W]hen the very life of the organization clusters around expertise, decision-making is likely to be diffuse, segmentalized, and decentralized. A complex network of committees, councils and advisory bodies grows to handle the task of assembling the expertise necessary for reasonable decisions. Decision-making by the individual bureaucrat is replaced with decision-making by committee, council, and cabinet. Centralized decision-making is replaced with diffuse decision-making. The process becomes a far-flung network for gathering expertise from every corner of the organization and translating it into policy. (Baldridge, 1971, p. 190)

The involvement of different interest groups in academic decision making by virtue of their role and expertise provides the legitimacy for the concept of shared governance developed by Mortimer and McConnell (1978). We include shared governance in our discussion of the political model because decision making in a shared governance environment is performed through the exercise of influence rather than formal position. Matters of shared governance are largely an issue between faculty and administration (and to a lesser extent trustees and students) because of the tensions identified in earlier organizational models between professional authority (the faculty) and formal authority (the administration). The notion of shared governance involves the acceptance of the authoritative rights possessed by certain constituencies based on their expertise or formal position. A central question in the discussion of shared authority is, How is authority distributed in recognition of the legitimate expertise ascribed to a particular incumbent or group? According to Mortimer and McConnell,

A full account of governance should cover four basic questions: (1) *What* issue is to be decided? (2) *Who*—what persons or groups—should be involved in the decision? (3) *When* (at what stage of the decision-making process) and *how* should such involvement occur? (4) *Where*—at what level in the organizational structure—should such involvement occur? (p. 13, emphasis added)

The political model has several weaknesses. First, the model was developed in an era predating the creation of the growing for-profit education sector and of institutions specializing in online learning modalities. The mission of some for profits and the online campuses without walls often bear little resemblance to their more traditional academic counterparts in their structure and relationship among faculty, employees, and management. Second, the rise of collective bargaining and the role of faculty unions have significantly altered the decision-making process on campuses where unions exist, thereby substituting functional authority by virtue of expertise with formal authority that is legislatively and legally derived. Finally, the political model focuses predominantly on the internal organizational relationship between faculty and administration but fails to account sufficiently for the rise in external environmental factors that are substantially affecting college and university governance today. Diminishing federal and state resources designated for higher education, coupled with governmental efforts to exact greater accountability on the part of colleges and universities, are resulting

ter encroachment by governmental entities on how precious resources
be expended and what society should expect in the way of outcomes
hose investments.

an evaluation of the future challenges facing higher education gover-
Kezar and Eckel (2004) provided a thorough review of 40 years of
h. They concluded that the primary models of academic governance
ve described focus on structural and political theories of governance
ovide a limited explanation of how academic governance could actu-
improved. An important theme they highlight is that the structural
olitical models that have guided the understanding of governance in
decades will be inadequate to understanding and accommodating
organizational change in the coming years as colleges and universities
adapt to new internal and external constraints. The authors cite three
s that have emerged in the last decade that will make governance more
problem: (a) an increase in imposed accountability and competition
an increasingly challenging external environment, (b) the changing
e of the faculty with significant retirements and a more diverse faculty
ing them, and (c) a need to expedite decision making to accommodate
change (p. 371). Efficiency, effectiveness, participation, leadership, and
onmental responsiveness are the five key challenges to future gover-
cited by Kezar and Eckel.

Now that we have reviewed how academic organizations significantly
from other organizational types and how different theoretical models
been employed to describe academic governance, let us turn our atten-
to the theoretical and practical aspects of leadership and decision
ng.

Three
sion Making and Academic Leadership

er education organizations are arguably among the most difficult orga-
ions to administer and manage for the reasons outlined in this chapter.
ldition to the organizational variables discussed in this chapter, a vast
of practical challenges face academic leaders: Internal constituencies lay
to authority over operational domains of the enterprise based on the
macy of their administrative or professional roles; boards of trustees
fiduciary responsibility over the entire organization and can exercise
responsibility in ways that are supportive or detrimental to the institu-
alumni, parents, and students increasingly exert influence as a result of

rising consumerism, which translates into greater feelings of entitlement over
how tuition or philanthropic dollars are applied; and legislatures and govern-
ment agencies demand greater institutional accountability through efforts to
ensure legislatively mandated educational outcomes. Academic leadership at
all levels, therefore, requires a special set of skills, knowledge, and sensitivity
to navigate effectively the ever increasing governance challenges facing
today's college and university decision makers.

Leading in a Bifurcated Organization

Leadership in an academic organization requires the ability to work in a
highly professional environment. Central to the concept of professionalism
are individual autonomy and creativity to exercise one's unique professional
knowledge. The question for any administrator is how to maintain organiza-
tional control and direction without imposing undue influence on these
embedded professional values. As Etzioni (1964) explained,

> Only if immune from ordinary social pressures and free to innovate, to
> experiment, to take risks without the usual social repercussions of failure,
> can a professional carry out his work effectively. It is this highly individual-
> ized principle which is diametrically opposed to the very essence of the
> organizational principle of control and coordination by superiors—i.e., the
> principle of administrative authority. (pp. 76–77)

Noted sociologist Blau (1974) focused on the inherent conflict between
bureaucracy and professionalism when addressing the issue of authority in
organizations:

> The various components of professionalism must be distinguished in ana-
> lyzing its implications for hierarchical authority in organizations. Full-
> fledged professionalization entails not only expert skills but also a body of
> abstract knowledge underlying them, a self-governing association of profes-
> sional peers, professional standards of workmanship and ethical conduct,
> and an orientation toward service. Some of these factors may easily come
> into conflict with the discipline required by bureaucratic authority.
> (p. 247)

In his research specific to academic organizations, Blau (1973) described col-
leges and universities as organizations bifurcated into two spheres, the
bureaucratic and the academic, and outlined the organizational tension that

etween these centers of authority. Noting that academics claim exclu-
hority over their own work, insist on professional independence, and
r own standards for competence in their disciplines, Blau stated,

ese claims to professional autonomy and self-regulation create potential
nflicts with the bureaucratic authority of administrators, since adminis-
tive and professional considerations are often at variance, for example,
en budgetary requirements conflict with optimum professional service
clients, or when administrative demands infringe upon the specialized
ponsibilities of experts. (p. 159)

ifurcated system, which aptly describes the higher education organi-
as substantially different from other organizational types, provides a
way to categorize the decision structures of colleges and universities.
he simplicity of Blau's (1973) bifurcated system does not fully account,
er, for the differences in organizational structure and process that exist
g different types of institutions. McKelvey (1982) noted that certain
of academic organizations respond differently to environmental change
ding to their specific structure and process, suggesting another possible
d to understand colleges and universities. Using the term *organiza-*
systematics to describe this phenomenon, McKelvey recognized that
standing academic organizations could be facilitated by placing them
mogeneous groups based upon decision structures, a vastly different
ach from the more traditional Carnegie Classification scheme.
Using this concept, Hendrickson and Bartkovich (1986) created a new
omy that built on the Blau (1973, 1974) and McKelvey (1982) con-
omy that built on the Blau (1973, 1974) and McKelvey (1982) con-
s. They proposed that academic organizations could be arrayed on a
nuum ranging from highly bureaucratic to highly academic (using
s bifurcated system), with assigned factors such as decision-making
rity, functional differentiation, administrative configuration, and par-
tion in operational procedures to determine where a particular type of
ution would reside on this continuum.
Since bureaucratic organizations tend to be vertical in structure with
ion making centralized at the top, whereas academic organizations are
r with decision centers at lower levels, the locus of power provides a
l understanding of how a specific college or university reacts to change.
any permutations of structures and process exist among academic orga-
tions that this approach to understanding academic organizations
hasizes again how vastly different they are from other organizational
s, a key point highlighted in the work of Hendrickson and Bartkovich
6).

Decision Making in Academic Organizations

So messy is decision making in academic organizations that it has been
described as similar to a garbage can (Cohen et al., 1972). In their study of
universities as organized anarchies, Cohen et al. suggested that academic
organizations are collections of solutions looking for problems, issues and
feelings looking for decision opportunities to be vented, and decision makers
looking for something to do. Thus, decision making in academic organiza-
tions can be construed as a set of problems, solutions, and participants who
move from one decision-making opportunity to another. The outcome of a
decision is influenced by the availability of solutions, the people involved in
the process, and the nature of the process. Cohen et al. argued that in such
organizations, solutions are often uncoupled from decisions. While decision
making is believed to be a process to find a solution for a given problem, it
is actually a complicated dance to align problems, solutions, and decision
makers to allow action to occur.

Clearly, leadership and decision making in a college or university is a
highly fluid and dynamic process that assumes different characteristics
depending on the particular role one holds in the organization. For example,
decision making for department chairpeople is significantly different from
that of a dean or provost, whose decision circumstances in turn are quite
unlike the decision-making conditions faced by an institution's president.
Though all operate within a shared governance environment in which
spheres of influence and responsibility are allocated according to one's func-
tion, acceptance of a decision is determined by the legitimacy and authority
ascribed to the decision maker by others inside and outside the organization.
For example, among the most challenging of administrative positions on
today's campuses is that of provost. Having most often risen to that position
from within the professoriate a provost must precariously straddle serving as
an advocate for the faculty and its interests and serving at the pleasure of the
president in an executive administrative capacity. Provosts must deftly sup-
port faculty autonomy through shared governance while firmly asserting
administrative accountability:

As trust is the cornerstone of academic leadership, the Chief Academic
Officer (CAO) must be vigilant about not letting faculty go around their
department chairs or deans, must avoid sharing information with just one
dean or having a backdoor for negotiations, and must be consistently even-
handed in all matters. The CAO cannot undercut the authority of deans
and department chairs by publicly second-guessing them or getting

/olved in matters for which the deans and chairs are responsible. At
nes, this means supporting those to whom one delegates daily responsi-
ity for academic affairs even if the CAO disagrees with their actions.
erren & Stanton, 2004, pp. 13–14)

cause the notion exists of shared governance in academic organiza-
where authority is divided or bifurcated among bureaucratic and aca-
spheres of responsibility, potential differences in the perception of
vithin each sphere or at various levels within a sphere also exist. Effec-
adership and decision making in academic organizations therefore
es congruence among and between members of these different spheres
w different organizational roles are perceived and exercised. Role the-
plores the consistency between one's assigned organizational role and
rception of that role by others. Especially in academic organizations in
authority and decision making is widely distributed throughout the
tion, successful leadership requires an appreciation and understanding
differences between and across the multiple spheres of authority that
nd is a prerequisite to effective administration and management.

ffective administrators of academic organizations benefit when they
s high degrees of emotional intelligence (see chapter 10 for additional
nation). Golman (1995) argues that possession of certain social skills is
ter predictor of leadership and managerial success than IQ alone. He
portfolio of behavioral and emotional skills that have been shown to
high emotional literacy and managerial success. These skills include
onal self-awareness, the ability to manage one's emotions, empathy and
ility to read others' emotions, deftness at handling relationships, and
ility to harness emotions productively. In organizational settings such
leges and universities in which the definition of *smart* is most often
uted to a person's IQ, the qualities of emotional intelligence may be
valued. Yet it is precisely because effective academic administrators
be sensitive to the conflicts inherent between the professional and
nistrative spheres of their organization and the differences in role expec-
s for administrators according to their position and function that those
higher levels of emotional intelligence will, in fact, achieve greater lead-
success than those who are deficient in such skills, regardless of IQ

ning to Frame Situations

the highly dynamic and complex nature of academic organizations,
here particular leadership styles that work best in these organizations?

Earlier in this chapter we briefly examined three models of academic gover-
nance: bureaucratic, collegial, and political. One could argue that certain
leadership and managerial styles have historically been associated with each.
For example, leaders of organizations resembling the bureaucratic model
often assume the role of hero—visionary and highly goal-oriented individu-
als who by virtue of their vision, drive, and position at the top of the organi-
zation provide the guiding impetus behind the organization's growth.
Figures such as former General Electric President Jack Welch or Microsoft's
Bill Gates are examples. An entirely different leadership style is required for
organizations mirroring the collegial model of governance in which academic
professionalism dominates. Here the leader serves as colleague in that his or
her authority is derived from the expertise attributed to that individual by
professional peers. When the federal government organized the Manhattan
Project in Los Alamos, New Mexico, during World War II to develop an
atomic weapon, it recognized the importance of placing an individual in
supervision over the scientists working on the project whom they would
defer to professionally. Physicist Robert Oppenheimer served as the ideal
choice in that instance given his high stature within the scientific commu-
nity. Finally, in the political model, the leader acts as facilitator, which
requires strong negotiating and social skills to manage and influence compet-
ing interest groups in support of a common objective. As chronicled by
historian Doris Kearns Goodwin (2005), Abraham Lincoln effectively man-
aged a "team of rivals" in his cabinet during the Civil War. Prior to his
administration, some of these individuals had been bitter political enemies
but emerged from the experience of serving on Lincoln's cabinet with the
deepest admiration and respect for the president.

Just as one single governance model cannot effectively describe academic
organizations (which actually contain elements of all three), no single style
of leadership can be applied to the task of managing and administering
colleges and universities. An excellent and useful guide for decision making
and leadership was proposed by Bolman and Deal (2008), who argued that
leadership style is situation specific according to the circumstances at hand.
The authors suggested four frameworks to view leadership. The leader who
employs each of these frames as it is needed will be a more effective leader.

- *Structural.* Decisions and solutions are achieved through the realign-
  ment of structures, tasks, roles, and operations. This framework is
  useful in organizations with high degrees of formalization and ratio-
  nality with clearly defined goals and little organizational conflict. A
  structural leadership style is analytical and highly strategic.

- *Human resource.* A focus on empowering and assisting the organization's people is the dominant theme of this frame. Organizational process and movement are consequences of motivations stimulated by management toward the workers and are especially beneficial when morale is either high or very low. Ample resources to provide that motivation are important to this framework. The human resource leadership style is one of servant leadership and advocate of the individual employee.
- *Political.* Effective management under this framework requires the identification and understanding of the organization's various constituencies and their leaders with a focus on negotiating desired organizational outcomes through influence and compromise. Scarce or declining organizational resources often stimulate use of the political framework. The leadership style of this framework involves strength in coalition building and use of persuasion.
- *Symbolic.* Traditions and values of the organization predominate in this framework, and organizational loyalty is prized. Workers look to a visionary leader and motivator for support and guidance. The importance of the organization's culture is central. Leadership in the symbolic framework requires high energy, foresight, and a charismatic personality to motivate employee productivity.

The utility of Bolman and Deal's (2008) four frameworks for leadership academic organizations is that leaders must consider employee motivanal factors during decision-making processes. Given the myriad constituies confronting academic leaders on a host of organizational issues, the del correctly suggests that leaders adjust their style according to the issue be addressed and the decision to be made. In addition, the ability to nsider complex issues through multiple frames can help leaders avoid (or least prepare for) potential hazards and negative reactions to decisions. deed, research suggests that many university presidents use at least two mes when making decisions (Bensimon, 1989). Any holistic approach to e study of leadership, especially as it relates to academic organizations that e becoming increasingly consumed by external variables, must account for ese emerging influences.

onclusion

chapter 1 we outlined several principles that serve as a foundation to our dy of U.S. higher education: the understanding of the role of mission, the ed for institutional adaptation to changing environmental and societal

circumstances, and the value of democratic partnerships in the formation and operation of colleges and universities. Those entrusted with governance responsibilities as either fiduciaries or administrators in U.S. higher education institutions cannot effectively lead without embracing these principles and appreciating how each affects management decisions on an ongoing basis. This chapter suggests how issues of institutional mission and democratic partnerships have evolved over the centuries into a dynamic and complex array of thousands of separate and unique organizations, each requiring of its leadership a separate set of understandings and strategies equally unique to the organization. It is not nearly enough to understand how colleges and universities differ markedly from other organizational types. More important, informed administrators will be well served to understand how their institution distinguishes itself from any other, and what they must understand about themselves and those they serve to effectively manage it with success.

Notes

1. More information about open systems can be found in Scott and Davis (2007).

2. More comprehensive information about these and other organizational theories pertaining to academic organizations can be found in Bastedo (2012) and Bess and Dee (2007).

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