Pepperdine University

Graduate School of Education and Psychology

THE PARTNERSHIP BETWEEN PRIVATE UNIVERSITY PRESIDENTS AND

GOVERNING BOARDS IN EFFECTIVE GOVERNANCE

A dissertation submitted in partial satisfaction

of the requirements for the degree of

Doctor of Education in Organizational Leadership

by

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DEDICATION

This study is dedicated to my parents:

My mother, Barbara Ann LeBeau Collins, always gave me unconditional love and support in everything I did. She died during my coursework in this program, which challenged my timely completion. I am thankful that I have regrouped and have reached this milestone. As a living tribute to her, I have worked to complete the program and move forward in my life. I miss her and live to honor her.

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ABSTRACT

The position of college or university president has a rich and complex history. Coupled with this is the establishment of a governing structure that includes a group of individuals most commonly referred to as a board of trustees. This group oversees the advancement of the institution and selects the presidents that lead it. Literature and media confirm that university and college senior leaders nationwide are under increased scrutiny. Higher education is moving into the mainstream of public attention and into a new era of accountability. The voices calling for reform in higher education and its governance are elected officials, alumni, parents, students, faculty, staff, and in some cases, law enforcement. These shifts have brought unprecedented attention to college and university governing boards, which, similar to corporate boards, are responsible for ensuring that leadership acts responsibly and in the best interest of the institutions it governs. Governing boards appoint presidents and chancellors and wield substantial authority in holding them accountable. Therefore, the relationship between governing boards and private college and university presidents is crucial to examining the complexity of college and university governance. This partnership, when leveraged effectively, can also develop synergies that propel institutions in new and bold directions.

This qualitative study examined the role of presidents at private colleges and universities in fostering a partnership with governing boards as a mechanism for facilitating greater efficacy in university governance. The research focused on two fundamental questions:

1. What role, if any, do presidents have in *educating* governing board members?

2. What are the primary concerns, if any, that presidents have related to their relationship with the governing board?

Data collection for the study centered on interviews with presidents of private colleges

and universities who offered their professional assessment and personal perspectives on the ways institutional leaders foster constructive and productive relationships with individual board members and with the governing board overall.

Chapter One: Overview Of The Study

American colleges and universities face increased public scrutiny and media attention in light of incidents related to ethics, integrity, accountability, and oversight. High profile cases of unethical or irresponsible behavior involving sports programs, coaches, campus safety, academic integrity, and a range of other areas highlight the importance and accountability of governing boards, governance policies, and institutional leadership. Public scrutiny is no longer centered on whether leaders are aware of inappropriate activity within their institutions, but has become increasingly focused on what leaders ought to have known through internal systems of checks, balances, and increased communication. Leaders and governing boards are keenly aware of their responsibility to serve as shepherds of their institutions' overall strategic direction while simultaneously ensuring that there are appropriate safeguards to minimize incidents of gross misconduct.

Beyond the increase in reports of ethical misconduct, governing boards and presidents during the last decade faced greater scrutiny due to shifting national socioeconomic, political, and technological realities. Among these shifts are changing demographics within the campus community, the professionalization of governing boards, and the rapid pace and impact of technological advances (Kezar, 2005). Therefore, there is a range of circumstances that can shift the sands on which relationships between presidents and governing boards rest.

These events and circumstances started a national and international conversation about educational governance. Some observers, who previously were unfamiliar with such organizations as the Association of Governing Boards of Universities and Colleges (AGB), are talking about how governing boards and university presidents work together with greater or lesser measures of success. From this day forward, higher education governance and the

conversations in the boardrooms of America's colleges and universities are unlikely to be the same. At the center of this discussion is a reexamination of the relationship between governing boards and presidents to ensure both are effectively carrying out their duties on behalf of the institution and the public trust. The importance of these players in the governance of the colleges and universities they serve cannot be overstated. Equally important is how these roles intersect in service to the institution's mission, obligations, and aspirations.

The relationship between the governing board and the president should be based on the shared purpose of supporting the mission of the university, and upheld by the pillars of shared governance: trust, respect, and communication (Buck & Highsmith, 2001). Many academic institutions are not only learning centers that educate thousands and tens of thousands of students, but also businesses that manage hospitals, hotels, real estate interests, and billion-dollar endowments. The role of the governing board, therefore, is expanding commensurate with the evolving university business environment. The complex nature of colleges and universities also requires a leader with skills to manage multibillion-dollar enterprises, which in some cases resemble multilayered corporate organizations.

Documented charters, bylaws, and operational guidelines typically define the role of trustees in the governance of private colleges and universities. However, because of these emerging governance and societal issues, the governing board's evolving responsibilities may not be specifically addressed and codified in these documents. In general terms, governing boards have the legal and fiduciary responsibility for the governance of the university. Trustees, in most cases, are nonacademic individuals who, in their daily lives, run businesses and other complex organizations; many are alumni and/or donors to the universities where they serve, but most are not professional educators or academic administrators. As outsiders in the day-to-day

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management of the university, but insiders in recognition of their governance and oversight role, trustees provide valuable experiences and insight to the presidents they hire and the universities they lead. Trustees provide the lay governance perspective in the establishment of policies, approval of academic plans and mission statements, as well as long-range financial planning and endowment management.

In one of the most comprehensive resources on the roles and responsibilities of trustees, Nason (1982) outlines the essential responsibilities for governing boards:

1. Maintain the integrity of the trust

2. Appoint the president

3. Make certain the institution is well managed

4. Approve the budget

5. Raise money

6. Manage the endowment

7. Assure adequate physical facilities

8. Oversee the educational program

9. Approve long-range plans

10. Serve as bridge and buffer between campus and community

11. Preserve institutional autonomy

12. Serve as court appeal

13. Be informed. (pp. 19-44)

These responsibilities of trustees are outlined in more detail in Chapter Two of this study.

Governing Board Effectiveness

In their research throughout the last 20 years on governing boards and their effectiveness,

Chait, Holland, and Taylor (1996) defined six competencies effective boards have in common:

1. Contextual, which addresses the ability to understand and incorporate the institution's culture and historical operations into day-to-day activities;

2. Educational, which relates to the capacity for engaging with the available knowledge base;

3. Interpersonal, which addresses the daily interactions between fellow members and other university leadership;

4. Analytical, which encompasses the abilities to recognize and consider issue complexities and varying viewpoints;

5. Political, which speaks to an attentiveness to relationships with multiple stakeholders; and

6. Strategic, which focuses on the ability to envision a future and determine strategies to approach that future in measured progress. (pp. 6-9)

The effectiveness of the governing board is sometimes measured in relation to trustees' meeting attendance, campus engagement, and the number of dollars given in support of the institution. However, effectiveness extends far beyond these parameters. Governing boards have legal requirements, including fulfilling fiduciary responsibilities and the individual obligation for duty of care. These extend beyond the mere act of attending meetings to also include trustees being informed on all items on which they are required to make decisions (Howe, 2002).

Individual trustees are appointed because of particular experiences and skills or because they bring differing perspectives and opinions to the tasks at hand. This, of course, can lead to dissenting opinions. However, it is vital for effective governance that, while individual board members may have differing viewpoints, trustees are united, or share a collective voice under the

leadership of the chair of the board.

In fulfilling their responsibilities, trustees must also ensure that their actions and behavior do not do harm to the university or its reputation. This is commonly referred to as a loyalty of duty. In keeping with these ethical responsibilities to the institution, trustees must refrain from any activities that would leave a taint of impropriety. It is also crucial that trustees refrain from using the institution to advance personal causes. This includes using their position for personal benefit (Fishman & Schwarz, 2001).

While the responsibilities are vast and encompass many institutional arenas, the governing board is independent and representative in nature. At its core, the governing board holds the trust of the university on behalf of the public. Trustees generally do not advocate for a particular perspective, but are guided by the history, charter, and overall mission of the university, particularly with respect to what is arguably their most important duty of recruiting, hiring, and empowering the university president. The Association of Governing Boards of Universities and Colleges (AGB, 2006) states, "The nature of the board's initial charge to the president, as well as the quality and consistency of support it provides, contributes to a president's success or failure in meeting the range of responsibilities effective governance requires" (p. 11). What cannot be minimized or overlooked is the essential role the governing board and its members play in selecting the institution's president; a responsibility that unites the governing board and the president in an intricate partnership. The individual who is hired by the board, as president, is also required by the board to exercise aspects of authority and intent that may not always coincide with the desires or agendas of individual governing board members. While trustees can and will have individual ideas and opinions, later in the study, the role of the chair of the board as the convening influence in blending together differing perspectives into a

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cohesive, unified group is presented.

The governing board cannot and does not delegate fiduciary and governance authority to the president. As such, the president is an agent of the governing board and is responsible for implementing its policies and directives, as well as managing the university's day-to-day operations. While hired by the governing board as the educational leader and university management expert, the president also has the responsibility for bridging the knowledge gap: the institution-specific gulf between what the trustees know and what they need to know to perform their responsibilities effectively. Directly and indirectly, in collaboration with the executive leadership team, presidents typically find themselves in the potentially challenging situation of educating and training trustees on issues of academic governance and nonprofit management. Although these duties might be delicate and tedious, for the president to be effective in his or her work, equipping and enabling the governing board is critical.

Successful presidents are skilled at managing the flow of information and garnering the trust of the board. If done well, AGB (2006) states, the institution is led by an effective board, "contributes to the strength and integrity of presidential leadership by standing firmly behind the president on contentious issues" (p. 13), and does not intrude in the institution's daily operations.

Problem Statement

Opportunities exist for greater collaboration between private college and university presidents and governing boards for greater trustee effectiveness.

Purpose of the Study

The purpose of this study is to review, discuss, and examine the private college and university president's role in fostering a partnership with governing boards as a mechanism for facilitating greater efficacy in trustee governance. Systematic attention to the relationship

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between the governing board and the university president is necessary if higher education institutions are to leverage and benefit from this crucial partnership in an era of greater scrutiny and increasing demands for greater accountability.

Research Questions

This study explores the leadership and effectiveness of governing boards and presidents at private colleges and universities. The guiding research questions were inspired by Cooper's (1998) doctoral dissertation titled *The Private College President's Role in Fostering Governing Board Effectiveness*. The purpose of Cooper's study was to examine how private college presidents in the Commonwealth of Virginia provided leadership and support to their governing boards to promote effectiveness. This study, as with Cooper's, examines the roles of private college and university presidents; however, the scope of this research encompasses a convenience sample of institutions that are not geographically linked. Additionally, this study addresses the ways presidents create and maintain effective partnerships with governing boards in governing and managing institutions of higher education.

In this study, the research questions are:

1. What role, if any, do presidents have in *educating* governing board members?
2. What are the primary concerns, if any, that presidents have related to their relationships with governing boards?

Key Terms

The following key terms are used in this study.

Administration: Refers to the daily operational issues that typically fall beyond governing board oversight. This term is also used as the collective name of the individuals who run the college or university and report to the president.

College or university: These terms are used interchangeably to refer to an institution of higher education.

Governance: Refers to the development and approval of broader institutional policy and the processes, framework, and hierarchy leading to implementation of those policies.

Governing board(s): The organizational body that has fiduciary and governance responsibility for institutions of higher education. Quotations or citations that refer to "board(s) of trustees" may be presumed to relate equally to governing boards.

President(s): Individuals who are appointed or selected by governing boards as chief executive officers and leaders of institutions of higher education.

Trustee(s): Individuals who are appointed and serve as members of governing boards for institutions of higher education.

Rationale for the Study

The relationship between the governing board and the president includes many aspects of university governance and operations. The interaction between the governing board and president and the effectiveness of their joint efforts impact the quality of the university experience for all constituencies (including students, faculty, staff, alumni, and donors), how long- and short-term financial decisions are made, and the ways in which the university leadership plans for the future.

In a hyper political environment, providing leadership for a university is a daunting task. Political science professor and former University of California president Jack W. Peltason commented, "The university is held together by talk and communication. Presidents cannot command anything—students, faculty, boards, or the legislature. Therefore, it is important for them to use their power of influence and personality to move the university forward" (J. W.

Peltason, personal communication, November 5, 2002). University presidents must engage in a highly collaborative decision-making process that includes the governing board and constituency groups on campus. Additionally, the expectation of managing the university in an environment of dwindling budgets and an overall poor economic climate is equally as difficult. The mission of governing boards and presidents to meet the legal and statutory requirements of their respective roles has grown exponentially throughout the past two decades. Every decision a governing board or president makes is scrutinized and subject to a complaint or grievance by a disgruntled student, employee, parent, or citizen. In addition, presidents must function in today's highly litigious environment of tort, contract, and property issues (claims), to name a few.

Historically, university trustees were selected because they were graduates of the institution and had an interest in campus activities. The criterion for selecting board members has moved beyond those who have an alumnus affiliation; trustees might be asked to join the board based upon their interest in the institution or their philanthropic capacity. In some instances, they might hold little understanding of the president's role or the legal responsibilities of managing a university. In working for and communicating with a variety of university presidents, this researcher has learned that much of the president's interaction with trustees is focused on educating trustees on some of the basic issues of higher education, rather than on more complex policy-related matters.

Mutual support, accountability, and transparency not only serve the partnership between the president and the governing board, but also provide a basis for the president's productive interaction with university constituencies. These attributes may also factor into the president's ultimate success in effectively leading the institution and maintaining the confidence of the governing board and the aforementioned constituencies (AGB, 2006).

Therefore, conducting a study on the significance and substance of the presidential role in fostering the partnership between the governing board and the president, and their collective effectiveness, is a timely and relevant exercise, which will add to the productive discourse surrounding university governance.

Assumptions of the Study

The assumptions of this study included:

1. The respondents, because of their leadership and professional experiences, and their trust in both the credentials of the interviewer and the confidential nature of the academic research climate, were uninhibited in sharing information via questions that would provide insight on the research conducted.

2. The respondents, because of their experiences as educators, would provide additional context and/or information beyond the scope of the anticipated inquiries.

3. The respondents would not purposefully or willingly attempt to influence the findings of the study.

4. The relaxed, less formal, though highly structured interview would allow for greater ease in communication and would enable the researcher-interviewer to gather vital information.

5. All interviews would be scheduled and completed within 60 days of Pepperdine's Institutional Review Board approval.

Limitations of the Study

The limitations of this study include:

1. The limited sampling of private college and university presidents could result in research findings that might not be generalized to a much larger or more

demographically diverse population.

2. The interview population was limited to college and university presidents and did not include governing board members, which would result in research findings that are only applicable to presidential perspectives, insights, and recollections.

3. While this researcher would diligently work to adhere to the highest standards of objectivity, it is acknowledged that this researcher also had personal and professional experiences as an administrator in higher education during the past 20 years.

4. The format for inquiries related to this research relied on the accurate recall and memories of the respondents and was limited by such. Where appropriate, prompts and follow-up questions were employed to achieve greater accuracy.

Organization of the Study

This study is organized into five chapters. Chapter One introduces and provides the overview of the study, including the purpose, rationale, research questions, assumptions, and limitations. Chapter Two focuses on the literature review, including research on the history of governing boards, the history of the university presidency, how the work of governing boards and presidents is interdependent, and gives a detailed view of the role of the president as leader of the university. Chapter Three presents the research methods used to conduct the study, the research design, data collection study, and the population studied. Chapter Four focuses on the findings of the study related to the proposed research questions. Chapter Five presents a summary of the research, recommendations for future research, and conclusions.

Chapter Two: Literature Review

History of Governing Boards

The earliest historic precursors of higher education and governance are found in Europe, where John Calvin established the Academie de Geneve in 1559. A government-appointed group advised the Academie under Calvin's leadership, and consisted of ecclesiastical and lay leaders who were given Academie-governance responsibility (Cowley, 1980).

The unicameral form of governance was solidified with the establishment of the University of Leyden (now known as the Leiden University), founded in 1575 by William, Prince of Orange, in what is today the Netherlands. The University of Leyden relied on a lay governing board of curators that also included the mayor, who facilitated the relationship between local civic leaders; the government; and the university. The board of curators was charged with the oversight of all university governance, including appointment of faculty and other principals, and all real estate and financial responsibilities (Cowley, 1980).

In 1592, a bicameral form of university governance was established with the founding of Trinity College in Dublin. Trinity (now called Trinity College Dublin, the University of Dublin) relied first upon an external board of visitors, largely lay men (no women), which originally secured the charter for the college and the land required to create the college around an old monastery. The second governing group was an internal board of fellows, comprising almost exclusively academics, which was charged with managing the academic affairs of the college and maintaining daily university operations (Trinity College, History, n. d.). Both the unicameral and bicameral forms of governance crossed the Atlantic to the new colonies in the mid-1600s.

The history of higher education governing boards in America originated in the colonies of New England with the establishment of Harvard College in Massachusetts in 1636 (Harvard

University, History, n. d.) and William and Mary College in Virginia in 1693 (William and Mary College: History and Traditions, n. d.). These institutions established the educational foundation for community leaders, with curricular offerings ranging from philosophy and theology to mathematics (Keohane, 2006). Borrowing from Oxford and Cambridge in England, where the highest presiding officer was referred to as dean, master, principal, provost, rector, warden, and finally, president, the first use of the title president in America was at Harvard University in 1640, when Henry Dunster was elected to oversee university operations (Cowley, 1980).

The governance model adapted in the colonies included a president to serve as the academic leader and localized governing boards consisting of both clergy and lay members to provide oversight (Keohane, 2006). In these early models of governance, the governing board was active and involved in the operations of the colleges. It was also the role of the governing board "to assure that the graduates of these new institutions would be trained in godliness, morality, and devotion to public good" (p. 122).

The dominant examples of governance in the early colleges were primarily from Scotland, Italy, and Holland, with the membership of the boards primarily coming from the clergy, although there were lay members as well (Cowley, 1980; Schenkel, 1971). The European model of the governing board functioned as a control and oversight mechanism in response to faculty requests for resources, charters, and general support of the colleges. When the colleges received governmental and financial resources, boards of trustees were created to give the local citizens input in governance matters (Carlsen & Berdick, 1994). In the nine colonial colleges chartered between 1650 and 1769, the unicameral and bicameral governing forms were embraced to varying degrees. Significantly, Harvard; Brown, originally the College of Rhode Island, founded in 1764 (Brown University, History, n. d.); and William and Mary College relied

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on bicameral governance. Harvard continues to rely on two governing boards, including the Board of Overseers and the Harvard Corporation, which was formerly known as the President and Fellows of Harvard College. William and Mary College later abandoned the bicameral model and is governed by a single body, a board of visitors, whose members are appointed by the Governor of Virginia (William and Mary College: Duties and History, n. d.). In the case of Brown, the Corporation is Brown's primary governing body. It consists of a 12-member board of fellows and a 42-member board of trustees (Brown University, Administration, n. d.).

The remaining members of the original nine colonial colleges, Yale, the Collegiate School; the University of Pennsylvania, College of Philadelphia; Princeton, College of New Jersey in 1746; Columbia, Kings' College in 1754; Rutgers, Queen's College; and Dartmouth adopted a unicameral form of governance that is still in existence.

The Carnegie Commission on Higher Education (1973) identified seven forces, since the establishment of Harvard University in the 1600s, that were responsible for higher education governance evolution. They were:

1. The erosion of church influence brought about by both the increasing influence of public colleges and universities and the increasing secularization of education in church schools;

2. The increase in the power and authority of presidents of colleges and universities caused by professionalization of the presidency;

3. An increase of academic freedom and greater influence by faculty over academic programs;

4. A diminution of institutions functioning with parental authority over the student body;

5. A public that has attained greater influence over colleges and universities in their communities;

6. The development of colleges and universities into entities with multiple campuses; and

7. The decline in the number of institutions with boards governing a single campus.

Another significant impact on the structure of governing boards was that the charter of the College of New Jersey (Princeton University) included provisions for a governing board that was a mix of clergy and lay members which was given authority for all operations of the university, together with the hiring of faculty and university leadership, including the president (Kerr, Gade, & AGB, 1989).

Throughout the next 300-plus years, colleges and universities mirrored surrounding societies by embracing business influences and executives, often to the exclusion of clergy as a dominant force in governance. Key to this evolution was the Industrial Revolution, which superimposed the influence of business and manufacturing over the formerly prevailing influence of the church and clergy. As colleges and universities evolved and became more sophisticated entities, with multiple business and academic tiers, so too did universities need to adopt new qualifications and criteria for members of governing boards and other leadership (Cowley, 1980; Schenkel, 1971).

Quietly, the composition of governing boards shifted and universities sought to rely more on the expertise of trustees who acquired new skills and knowledge bases from the fields of law and medicine, and the emerging economic forces of banking, manufacturing, merchandising, land acquisition and sales, transportation, and capital reinvestment. As a significant part of the evolution of the role of governing boards, trustees serve as advocates for the university and for

higher education. In addition, a transcendent role of the governing board is also to seek, nominate, and appoint the president as chief executive officer of the university or college. In addition, the governing board provides administrative policy oversight in the areas of academic affairs, strategic planning, budget management, collective bargaining, and facilities planning. Trustees also serve as ambassadors with the university's external public stakeholders and its community (Fisher & Koch, 1996; Keohane, 2006).

History of the Presidency

The university presidency began primarily as the headmaster, head teacher, or leader of the faculty. Schmidt (1930) writes in the groundbreaking book on the college presidency, *The Old Time College President*, that the role of the president ranged from presiding over faculty meetings, teaching courses that his colleagues were most interested in, and organizing prayer meetings on- and off-campus, to sometimes farming the land where the college was located. The college president was the role model for the students and one of the key community leaders. In some cases, the primary role of the college president was that of being a member of the clergy. In these formative times, the presidency was the secondary role, or basically a part-time position.

Following the founding of Harvard and Yale, these two early American institutions became centers for debate over the scope of presidential power. Soon after its founding, Harvard limited its president's power, as Cowley (1980) wrote, to "a double vote in case of an equivocate" (p. 55). It was not until 1810 when John Kirkland assumed the presidential office that the president of Harvard came into a stronger position, with managerial powers more similar to those of today.

By contrast, the governing board of Yale allowed its 1740 appointee, Thomas Clap, to assume dominant control. However, as Cowley (1980) wrote, after its appointment of Jeremiah

Day in 1817, Yale's governing board began perceiving Day as a leader who was "too cautious and too slow" (p. 56) and deferential to associates in making decisions. The powers of the Yale presidency were rolled back, and operational control was delivered to members of the faculty, where it remains.

In the late 1800s and early 1900s, as colleges developed and increased offerings and services, the responsibilities of the president became more expansive. Using the example of the presidency of Princeton University, Schmidt (1930) presents the typical presidential job duties. The president was responsible for presiding over faculty meetings, carrying out faculty decisions, mentoring and offering support to faculty, lecturing on Christianity, and working for the general welfare of the college. Similarly, Rhodes (1998) states that when Yale University was looking for a president in the late 1800s, the following characteristics were listed as desirable for the applicant: a good leader with stamina and excellent health, a great writer, a magnificent speaker, a good public relations man, "married to a paragon of virtue" (p. 12). Americans wanted a degree of flawlessness in college presidents that was on the level of a well-trained and cultured British butler. Along with possessing strong administrative skills, the college president had to be a spiritual leader, a great scholar, and a social philosopher.

In American higher education, the title for the chief executive officer of the college was typically president. However, in earlier times, the title could have been rector, provost, principal, or chancellor, which related to the strong English roots of early American history (Schmidt, 1930). The title of chancellor is still used for either the head of a single university campus or a multi-campus system chief. The title of provost is typically used for the chief academic officer of the institution and the person who customarily serves as deputy to the president.

In an interesting anecdote, in the early years of the University of Virginia, the governing

board could not find a suitable individual to serve as its president, so the title was eliminated and a chairman of the faculty was selected instead. The idea behind this was to give each faculty member the opportunity to have, if only briefly, some authority for administrative matters at the institution (Schmidt, 1930).

The traditional path to a university presidency consisted of the obligatory study of the Classics and the Liberal Arts, years of teaching at an institution, and the progression throughout a 20- to 30-year period to the positions of department chair, academic dean, and ultimately, president of a university. There were very few exceptions to this process. Most concerns were academic, relations were generally collegial, and little interference came from outside the university (Adams, 1997). Even with the exception of serving as a sitting president at another institution, most presidents continue to possess limited direct experience when it comes to the complex management of an institution of higher learning. Presidents "begin as well-intentioned department chairs and if they keep their noses clean and are well liked, one day they can run the institution. There is no training on how to deal with various publics of the university" (J.W. Peltason, personal communication, November 5, 2002).

Birnbaum (1999) states, "Every decade, about 5,000 persons serve as college or university presidents" (p. 323). An American Council on Education (ACE, 2007) survey found that, while one in five presidents had served in another presidential office prior to their current role, nearly one-third rose to the office of president from a position as provost or chief academic officer. Of the more than 2,000 presidents surveyed, all but 13% had held their last position in academia prior to a presidential appointment. And while the study reveals a slight increase (from 10.1% in 1986 to 13.1% in 2006) in presidents coming from outside higher education, the percentage of those arriving from a field other than education had declined substantially from

15% in 2001, when the organization last conducted a similar study.

Greenwood and Ross (1996) noted an increasing interest in nontraditional presidential candidates–those who served in government, business, or politics. The reasons for this, on the surface, seem obvious. Today's challenges for the position of university president can easily include the management of a quarter-billion dollar enterprise that has continual need for additional resources not provided by tuition or the federal government. The university president is required to manage major fundraising campaigns, appeal to external sources for funding support, and engage in discussions with foundation executives and senior corporate and alumni leaders to garner their support.

The ACE (2007) survey, which explored areas in which presidents felt inadequately prepared, identified fundraising (22.7%), capital improvement (15.3%), budget (14.7%), and entrepreneurial venues (14.7%) as the top five responses. The top three fields in which presidents enjoyed working were community relations (31.5%), fundraising (27.5%), and academic issues (26.5%).

Relations with the governing board appeared eighth on the list (14.7%) of most enjoyed fields, with faculty issues (5.5%) and student life (4.8%) coming in even lower on the list. ACE (2007) also noted that more than one third of the presidents surveyed believe that the presidential responsibilities have become more complex and demanding, and that the area of governing board relations at the time of the survey increasingly requiring more time and effort. For the partnership between the governing board and the president to be effective, the appropriate staffing of the trustees, also referred to as care and feeding, must be a significant priority.

University presidents, in addition to possessing management skills, must possess a less easily defined leadership portfolio, one that enables the university's most visible singular

authority to read effectively the institutional compass and achieve the institution's preeminent goals and objectives. To quote a friend and mentor, James M. Rosser (1990), President of California State University, Los Angeles, "Presidents must step beyond the crowd, put their security on the line, take risks, identify the primary issues, and sail sometimes with the wind and sometimes against it" (p. 223).

The President-Governing Board Partnership

Balderston (1995) points out that there are several "conventional building blocks for governance" (p. 55). These include trustees, administrators, faculty, student government, and alumni. However, it is the collaboration between the president and the governing board that is the key component of successful governance. In the AGB's (1984) *Presidents Make a Difference: Strengthening Leadership in Colleges and Universities*, presidents are given advice on maintaining an effective relationship with the governing board:

- Don't promise too much in advance;

- Spend time with individual board members;

- Never surprise the board;

- Convince your board members to keep their eyes, ears and minds open—and their hands off;

- Be lucky—in having a good governor or a good chair of the board or both.
  (pp. 94-95)

The president of a private college or university derives legal authority from the governing board. Since aspects of selecting board members is done in a sociopolitical context, many governing board members are appointed to their positions because of political or financial support they have given to the institution, not because of their expertise in managing a

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university. Therefore, it is imperative that the president, as both the agent of the board and the board's most essential partner, work closely with the trustees to focus board member attention on policy-related issues. Cowley (1980) names leadership in policy making as an essential function of the presidency. While trustees have the last word in the policy directive, it is the president who is looked to for leadership.

Critics throughout academia historically complain that the members of governing boards, frequently professionals from the fields of business, medicine, and law, are outsiders who try to impose nonacademic standards and principles on an academic world. An inevitable conflict arises when trustees attempt to administer or manage the university rather than govern it (Cowley, 1980). However, as noted in the AGB's (2006) *The Leadership Imperative*, governing boards partner to create a successful and effective presidency in several critical ways:

1. By establishing a clear understanding of expectations;

2. By linking a new president to a network of experienced community, business, and policy leaders who can help the president assimilate the institution's distinctive culture;

3. By charging the president to build an effective leadership team and to develop a strategic plan; and

4. By standing behind a president on controversial matters and by not undermining a president through the imposition of personal agendas (p. 11).

In the context of an ideal effective partnership, governing boards and presidents support each other in their respective roles within the university's organizational structure. Ricard and Brown (2008) state, "The president's job is to create a campus of shared responsibility and strategically develop teams to achieve the mission of the institution" (p. 83) with the support of

the governing board. The relationship between the president and trustees should be collaborative, transparent, and one of mutual respect to advance the goals, objectives, and aspirations of the university. The president must respect not only the contributions the trustees make, but as the major stakeholder, must manage and foster relationships among all of the key stakeholders— relationships that include the partnership between the president and governing board members, and the links that exist from board member to board member.

> According to the AGB's (2006) *The Leadership Imperative:*
>
> By the expectations it shapes with a president, and the support it provides, the board empowers the president to fulfill the demands of the office as academic leader, chief executive officer, fundraiser, advocate, and public spokesperson for the institution and higher education in general. (p. 7)

In the latter part of the 20th century, a 5-year longitudinal study collected data in an effort to determine how governing boards, presidents, and faculty leaders assess presidential leadership. The Institutional Leadership Project (Fujita, 1994), as it was called, concluded, in general, governing board members gave presidents higher assessment grades than faculty members, who were more mixed in their evaluations.

Michael, Schwartz, and Balraj (2001) narrowed the key factors that trustees use to assess presidential effectiveness to four:

1. Knowledge of the culture and language of higher education;
2. Political relationship with other organizations;
3. Degree of influence with the public, the government, and the university's other stakeholders, including governing boards, faculty members, and students; and
4. Leadership and management abilities and skills. (para.1)

This study indicated that the ability to foster and manage relationships with the university's various constituencies was a key criterion in the assessment of effectiveness. As long as the president cultivates and maintains a good and productive relationship with the governing board, the members of the governing board perceive the president as effective.

Additionally, in this researcher's 20-year history of working closely with former and current presidents, it has been directly observed that while the governing board is the president's ultimate boss, the president also must establish an understanding with members regarding who runs the institution and is legally responsible for outcomes. Depending on the size of the campus, the position of university president is tantamount to serving as a mayor of a city, with the governing board filling a role as the city council or commission. The president, in addition to executing policies on the academic direction of the university, is responsible for the maintenance of land and buildings, oversight of police and fire agencies, and management of health care centers and teaching hospitals.

In many instances, the legal and economic context in which governing boards and university presidents work requires management of a multibillion-dollar enterprise. The president has oversight of human and financial resources and has the legal responsibility for protecting thousands of individuals who attend classes and work on the campus. As the agent of the governing board, the president oversees compliance with federal, state, and local laws, and with a variety of student and community issues, including health, welfare, safety, and politics, both internal and external (Lane & Kivisto, 2008).

In addition to implementing resolutions of the governing board, presidents are responsible for laws and regulations ranging from Title IX, which provides for gender equity in sports and prohibits discrimination based on sex, to Environmental Protection Agency rulings, to

local zoning ordinances. For example, universities that receive federal financial aid for their students must comply with federally mandated nondiscrimination and accessibility policies and procedures. The responsibility for upholding these laws, which in most instances is delegated, still resides with the president. Governing boards and university presidents might also find themselves as defendants in a variety of legal actions related to their roles or issues that occur on campus (M. F. Walda, personal communication, March 5, 2012).

Rhodes (1998), president-emeritus of Cornell University, writes that one of the key responsibilities of a university president is defining the institution's mission and setting goals at the direction of the governing board. He writes:

> The president should employ his or her best skills to dream the institution into something new, to challenge it to greatness, to elevate its hopes and extend its reach, and to energize it to new levels of success and galvanize it to higher levels of achievement in every area of its institutional life (p. 13).

While the governing board does delegate authority to the president, he or she does not have the power to move the entire institution at his or her will. Therefore, it is important to develop ambitious and distinct goals that motivate all institutional and campus constituents to support the presidential vision.

While not elected by the public to their positions, university presidents and governing boards hold immense power, both inside their institutions and within their surrounding communities. Because higher education institutions are critical to our democracy (and maintain tax-exempt status), presidents and trustees are de facto guardians of the public trust (Rhodes, 2001).

The precursors of university governance laid the groundwork for a varied range of

presidential power at private institutions of higher learning. Today, the range of presidential power might be shaped by such external and internal factors as mission, goals, objectives, regulations, and individual personalities. Additionally, while presidents frequently assume symbolic leadership with goal-oriented, visionary, intuitive, and charismatic traits (Bolman & Deal, 2003), the character, culture, and nature of the institution are just as essential to an understanding of the arrangement of institutional power as it is to presidential power (Mosley, 1988).

In the university environment, power is sociopolitical because it is based on interaction and influence, rather than statute or mandate. This makes the healthy and productive partnership between the governing board and the president a vital one. For any leader, university president or otherwise, to be effective in his or her role, he or she must interact with a variety of constituencies to accomplish goals. In addition, the president faces issues involving curriculum, policy, shared governance, and the concerns of the university community. Nowhere is this relationship more critical than in the interactions with governing boards. The appropriate use and restraint of power or authority must be exercised (Fisher, 1984).

The Roles and Responsibilities of the Governing Board

In Chapter 1, essential roles and responsibilities of trustees, as Nason (1982) outlined, were listed. These 13 crosscutting responsibilities are referenced in most of the books, articles, and dissertations related to trustees and university governance. These responsibilities are at the essence of why trustees are needed to govern colleges and universities.

Maintain the integrity of the trust. Nason (1982) states the role of governing boards is to provide "continuity, stability, and above all integrity" (p. 19) to the university governance process. Trustees uphold the history, culture, and mission of the institutions they serve. Because

of their long service and continuity, trustees provide checks and balances to the president and administration on decisions related to a long-term perspective for the development of programs and facilities. Governing boards are the caretakers of the institution's finances and academic programs and, as such, are the responsible parties or guardians of the university on behalf of the public. Patton (2002) states boards are, "responsible for every aspect of the enterprise" (p. 66). Nason (1982) says trustees "make sure that the institution's programs conform to stated purpose and that funds are spent in accordance with the terms under which they are accepted" (p. 19).

Appoint the president. As previously stated in this study, the primary role of the governing board is to recruit and appoint the president of the university. Nason (1982) states, "The president is, or ought to be, the most important single individual connected with the institution" (p. 20). The appointment of the president is not just significant, but vital in the success and effectiveness of the governing board; it is also vital to the success and effectiveness of the whole university. When a governing board is appointing a president, it is making a conscious decision to entrust the university to an individual who can change the direction and trajectory of the institution for decades. Many universities have tens of thousands of students, thousands of faculty and staff; however, the governing board has only one person reporting directly to it, that is, the president. As the agent of the board, the president is accountable and responsible for the entire institution; the welfare of its faculty, staff, and students; the maintenance of its physical plant; and the services that the university provides to its constituents.

Make certain the institution is well managed. Governing boards provide overall oversight for the institution and Theisen and Jackson (2002) state they "are the stewards of the schools' resources–people, plant and financial assets" (p. 238). In holding the president accountable for sound academic and fiscal management of the university, the governing board

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must make sure that the overall leadership of the institution is experienced, talented, and capable. Nason (1982) states, "The trustee's responsibility for seeing that the college or university is well managed cannot be limited to the president's office, even though the president is the agent through whom their decisions and concerns are channeled" (p. 23). By establishing a process for continuous review of policies and university goals, governing boards ensure that the president and their administrative teams manage the institution in an effective and efficient manner. Typically, board chairs and presidents have regular, sometimes weekly, conversations to discuss issues and ideas, and to share information.

It is also important that the governing board and the president have regular and open opportunities to communicate, usually through scheduled closed sessions at trustees meetings. For the overall partnership between the governing board and the president to work well and for the trustees to feel that the university is running smoothly, communication is vital to institutional effectiveness. Theisen and Jackson (2002) state, "A well-managed institution has a good partnership between the board and the head (president)" (p. 238).

Approve the budget. As the governing board is responsible for maintaining the public trust for the institution, trustees are responsible for the fiscal soundness and integrity of the university. Nason (1982) states that while providing oversight to the president and the chief financial officer, "it is the responsibility of the trustees to make certain that income matches outgo, that resources are sufficient to pay for programs, and that future financial health is not sacrificed to current demands" (p. 25). Governing boards of private institutions have greater responsibility for fiscal stability of their universities than boards of public universities, because private universities can manage debt through a variety of loans and by leveraging endowments. Therefore, it is vital that trustees, especially at private institutions, understand their fiscal

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obligations and responsibilities when making financial decisions. Universally, all governing boards have budget and finance committees with oversight responsibilities for approving the institution's budget and for reviewing financial statements.

 Raise money. In conjunction with the responsibility to oversee the financial health of the institution, governing boards also are responsible for expanding the university's resource base beyond tuition revenue. Trustees are appointed to governing boards typically because of their financial support of the institution, their potential as significant gift prospects, or their relationships and influence with others in a position to support the university. In today's environment, a university is either in a fundraising campaign, has just finished one, or is planning to start one. Trustees are the leaders of all fundraising initiatives, whether annual, capital, or comprehensive. Nason (1982) states:

> No one, not even the president, is in as good a position to ask for support as the trustees, whose position gives them a special perspective, who are clearly not self-serving, and whose commitment to the institution is seen as testimony to its worth (p. 27).

The president and the institutional development staff prepare solicitation materials and case statements based on the mission and vision of the university, which are reviewed and approved by the governing board. Patton (2002) states:

> More important than actually 'making the ask' is a trustee's ability to internalize the goals of the institution so that he or she perceives development activity in a variety of forms as a necessary and important component of the trustee's service. (p. 67)

As influential citizens in their respective communities, trustees are also called upon by the president and university administration to assist with local, state, and federal lobbying efforts for appropriations, tax incentives, and special financial support. In addition, trustees are typically

requested to solicit their business associates, fellow alumni, and other individuals in an effort to increase external support to the university.

Manage the endowment. As part of the governing board's responsibility for maintaining the fiscal health of the university, providing sound oversight of the university financial assets through overseeing its investment policies for endowments is essential. University endowments range from the tens of millions of dollars to several billion dollars, and while there are professional financial managers who are hired to provide advice and counsel to the trustees and the administration, it is the governing board that has the ultimate responsibility for making the decisions regarding how those funds are invested. With input from the administration, trustees set the policy for the amount of endowment returns the institution can use each year for operations. This responsibility also intersects with the role the trustees have in raising money for the institution. When donors make unrestricted gifts or pledges to the university, the governing board must also decide if a portion of those funds should be added to the endowment or used for current operational needs. In general, governing boards must ensure that institutional endowment policies meet all federal regulations and laws for tax purposes (AGB, 2010).

Assure adequate physical facilities. Historically, one of the most important decisions that a governing board makes is where a university will be located and what its master plan for facilities will be. Nason (1982) states, "As part of their responsibility for safekeeping of the institution's capital assets, trustees have traditionally exercised particular concern for the acquisition and preservation of buildings and grounds" (p. 31). Campus master plans, similar to academic plans, are reviewed periodically to ensure that the university is effectively using its land and facilities in accordance with the academic plans and programs. An essential role of the governing board in this area is ensuring the availability of an appropriate capital budget for

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maintenance of campus facilities and funds available for the acquisition of land and new

facilities if opportunities arise. The governing board's role is to ensure that the president and

administration are not only maintaining current university facilities, but thinking about long-term

enrollment growth, academic program development, and fundraising that will impact future

decisions on design and construction.

Oversee the educational program. Typically, faculty members want to have the sole

responsibility for anything related to the educational program of their college or university.

Faculty members believe that the governing board should provide unlimited resources for

academic programs and that the trustees and the president should not interfere in the planning,

development, and execution of educational activities. According to Nason (1982), because of the

responsibilities governing boards have in approving academic plans and instructional and capital

budgets, overseeing the facilities master plan, and most important, maintaining and upholding

the mission of the university, "trustees are determining the educational character of the

institution" (p. 32) and are establishing academic priorities. Governing boards do not manage the

academic priorities or develop curriculum; that is the purview of the president and the

administration. However, within their governance and oversight role, Bok (2003) states trustees

review and approve budgets and plans that will "ensure a consistent respect for academic

principles throughout the university" (p. 187). The governing board impacts the university and

the greater society by soliciting resources from a variety of external constituencies, which can

influence how educational programs are funded and delivered (Drucker, 2001).

Approve long-range plans. As previously stated, governing boards approve various

plans that are proposed by the president and administration, including academic, enrollment,

facilities, financial, and fundraising. In their role as guardians of the university and its future,

governing boards, in partnership with the president, must plan beyond current operational needs to ensure that the institution remains solvent and relevant for future generations. When presidents are appointed, governing boards charge them with conducting audits, inventories, and assessments of current university plans. Additionally, governing boards are responsible for preparing plan updates or developing new ones. Trustees provide the checks and balances with the president and the administration on whether goals and plans are realistic, and on which goals should be aspirational and forward thinking (Moore, 2001).

Serve as bridge and buffer between campus and community. Because of their unique role and comprehensive institutional view, the governing board members ultimately serve as ambassadors for the mission and vision of the institution (Patton, 2002). Nason (1982) states trustees serve as "the antennae of their institution, relaying back what the surrounding world is like" (p. 36). Though they do not represent a particular constituency, trustees are typically alumni or friends of the university and as such have multiple networks of contacts that exchange information with them on various subjects related to the university. Patton (2002) states, "As advocates who volunteer their time, interests, and resources, [trustees] are perhaps the best 'authenticators' of an institution's claim of significance in the world beyond academia" (p. 69) to the external community. Most presidents are comfortable with having trustees maintain relationships with individuals outside of the university because it helps buffer the administration from external criticism and positions the leadership as more inclusive.

Preserve institutional autonomy. Nason (1982) states that for governing boards of private institutions, preserving institutional autonomy means protecting the "integrity and independence" (p. 38) of the university from outside influence. Trustees must guard against the will and influence of alumni, organizations, donors, government agencies, and other special

interest groups that fund programs, research, and institutional initiatives and want special consideration because of the resources they provide. Universities as a public trust, governed by trustees, must freely conduct research, analyze societal problems, and undertake medical experiments, among other exercises, all without the unnecessary encroachment from those funding the institution's work. The president and the administration should always rely on a strong and supportive governing board to assure them that the mission of the university will be free from external pressure.

Serve as court of appeal. Nason (1982) states, "Since trustees possess the final legal authority, there is no body other than the courts or the legislature which can legitimately challenge their decisions" (p. 42). As part of its effective partnership with the president, the governing board must ensure that there are policies that allow for the appropriate level of consultation and administrative redress before matters reach the trustees. Governing boards must clarify to all constituencies that there are opportunities for due process and appeal, but that problems must be addressed administratively before reaching the trustees. In support of its president, the governing board must not overrule administrative decisions lightly; to do so, in some cases, would amount to a vote of no confidence in the president's or administrative team's leadership. According to Nason, "The trustees have a right to assume that a firm and intelligent administration will dispose of most disagreements" (p. 43) before they would reach the governing board.

Be informed. Theisen and Jackson (2002) state, "All trustees should share a strong sense of loyalty and relationship to the institution and a desire to see the institution succeed" (p. 238), and have an obligation to be well educated on all issues and agenda items that are presented to them for consideration. The president, as educational leader, must ensure that the trustees have

the information and resources needed to make sound decisions on behalf of the university. Nason (1982) states that the chair of the board holds the responsibility for making sure trustees are well informed about the institution's "history, mission and goals, programs, finances, physical assets, sources of students, qualitative status in the educational hierarchy, distinctive characteristics, major problems, future prospects" (p. 44), and any general matters that might affect university governance. Since much of the work of the governing board is supported by the administration, transparency by the president and his or her team is vital in this aspect of the trustee's responsibility. An informed and knowledgeable governing board is essential to a successful president and a thriving and vibrant university.

Expanding on an earlier point within the study, governing boards serve a range of broad and diverse functions both within their communities and beyond:

1. They act as intermediaries, both conduit and buffer, between the various factions of community, government leadership, and institutions of higher learning (Carnegie Commission on Higher Education, 1973; Morgan & Bergerson, 2000).

2. As governors of their institutions, many of which are dominant and influential educational arbiters, they become de facto governors of the nation's higher education in general (Birnbaum, 1988; Garfield, 2004; Michael, Schwartz, & Hamilton, 1999).

3. As responsible parties for institutional governance, they become aligned with the effectiveness of their institutions, and as such, the effectiveness of higher education at large (Chait et al., 1996).

Additionally, trustees are increasingly responsible for driving the recruitment and solicitation of advocates, ambassadors, philanthropists, and supporters of the institution and higher education generally, beyond the reach and scope of the president and the administrative

team. This underscores the importance of their relationships to external parties, including political, economic, business, and other educational leaders and organizations (Pusser, 2003; Pusser, Slaughter, & Thomas, 2006). As college and university cultures shift to reflect external demands and influences, governing boards become even more critical players in their exercise of effective governance.

Coincident with the release of the 2011 AGB *Survey of Higher Education Governance*, AGB President Richard D. Legon noted:

Higher education faces greater and different challenges today than it has in the past. While financial trials are perhaps the most obvious, demands for greater accountability and transparency, questions about educational quality and higher education's business model, growing health-care costs, and a loss of public confidence are also at issue. (AGB Releases, 2011, para. 12)

In his book about the status of American universities and their role as agents of society, Rhodes (2001) defines effective institutions as those that maximize resources to serve the public good. Universities educate citizens who serve society in the arts, business, culture, education, health professions, humanities, and sciences; provide services in the communities where they are located; and conduct research on scientific and societal questions, problems, and challenges to help improve the human condition. Rhodes refers to the relationship that universities have with the public as a social compact. "The custodian of that social compact is the board of trustees, which exercises both a fiduciary and oversight role on behalf of the public" (p. 215). In their role as custodians and protectors of the public trust, governing boards have responsibility for selecting the university president, oversight for academic plans and programs, faculty tenure, and financial affairs, including physical development and construction and approval of most

institutional partnerships. Governing boards have a "distinctive fiduciary relationship to the institution, acting literally as trustees for its health and well-being" (p. 216). While the board does grant the president tremendous responsibility to run the university, it "may not delegate its ultimate authority for mission, integrity, and financial viability of the institution" (p. 219).

Rhodes (2001) specifically describes the role of the governing board as having "responsibility for approving the mission and goals of the institution; for approving policies and procedures; for the review and support of its president and for informed oversight of its programs, activities, and resources" (p. 220). In its leadership and partnership role, the governing board should refrain from attempts to manage the university and become involved in operational matters, but should know enough about the institution to provide unqualified and sustained support to its president.

For an effective partnership, the governing board must provide a platform for the president to communicate in an honest, open, and uninhibited manner about the university's successes, challenges, aspirations, and failures and those same aspects of the president's leadership.

The Board Chair and the President: The Foundation of the Partnership

While this study focuses on the effective partnership between the governing board and the president, the tone and reinforcement of this relationship is based in part on how the president relates to the chair of the board, and vice versa. In *The Handbook of Nonprofit Governance,* BoardSource (2010) states, "The board chair is responsible for leading the board in the oversight and support responsibilities that are critical to good governance" (p. 48). Ingram (1993), former president of the AGB and an expert on board governance, writes, "The relationship between the chief executive and the chosen leader of the board has almost

everything to do with how well the governing board will perform" (p. 333). Nason (1982) notes that the chair of the board is "the most important trustee" (p. 82) who has a "special responsibility of leadership" (p. 82). Most institutions have staff members who serve as the official spokesperson; however, there are only two people who can speak for the university: the chair of the governing board and the president. Clearly, there is only one president who is responsible and accountable for running the university and managing its academic and fiscal affairs; the chair's role is to manage the work of the governing board and its committees. The chair of the board guides the direction of the board agenda and the discussions during meetings. This impacts how business is conducted and how decisions are made. Typically, the chair either appoints other trustees to committees or has great influence on how those selections are made by the governance or executive committee (BoardSource, 2010). Those decisions of the chair will certainly impact the partnership between the governing board and the president.

Ingram (1993) describes the chair as the person who determines opportunities to maintain continuously and strengthen effective board governance, understands all aspects of the university's operations, serves as the single public voice of the board, and provides balance, structure, and coaching for other trustees. Additionally, in support of the partnership between the governing board and the president, the chair becomes the locus for impartiality, exchanging information, providing sound advice and counsel to the board, and is attentive to the needs of other trustees (Ingram, 1993, 1995; Kerr, Gade, & AGB, 1989). The chair of the governing board serves as the facilitator of the relationships among trustees. The interpersonal interactions that the governing board has within its ranks allow for greater trust and more free flowing communication, which adds to its effectiveness and the positive relationship the board maintains with its president (Chait, Holland, & Taylor, 1993).

Governing board members in private college and universities are chosen for a variety of reasons and have many differences in their background, but one commonality is the selection of individuals who are successful leaders in their chosen fields of endeavor. As such, governing board members are accustomed to acting decisively and independently in making decisions or leading their businesses and organizations. In their role as trustees, governing board members have no authority as individuals; it is their collective governance responsibility and work as a group, as facilitated and "managed" by the board chair, that makes them effective (Chait et al., 1993). The chair must recognize the skills, abilities, and individual strengths of others on the board, and must inspire all members to work together to create an effective team to achieve the goals and vision of the university (Buckingham & Clifton, 2001; Hiatt-Michael, 2001; Kegan & Lahey 2001).

The board chair plays a lead role in the formal and informal education of governing board members as well. The organization of meetings and the discussions at the board level help trustees get necessary background information on issues facing the institution, ask questions and share opinions in a safe environment among peers, and understand the perspectives and backgrounds of their colleagues in a collaborative group setting (Zander, 1993). The role of the chair of the board and the education of trustees is discussed later in the study.

The Power and Authority of the Governing Board and the President

Any discussion regarding the governance of American higher education institutions, together with the delegation of authority and power, must include a reflection on the differences between governance and administration. Gallagher (2001) indicates governance may be defined as "the structure of relationships that bring about organizational coherence, authorized policies, plans and decisions, and accounts for their probity, responsiveness and cost-effectiveness" (p. 1).

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Administration, on the other hand may be described as "the implementation of [authorized] procedures and the application of systems to achieve agreed results" (p. 1).

In the context of the university, the concept of power is something that is generally not discussed. It is understood that the president of any university has a certain amount of positional authority, which is vested in the role by the governing board of the institution. The university president has all of the aspects of power based on Merriam-Webster's traditional definition: "legal or official authority, capacity or right" ("Power," n. d.). It is the exercise of that power in a sociopolitical context that makes a university different from many other organizations (Fisher, 1984).

Kotter (1985) (as cited in Bolman & Deal, 2003) acknowledged that leaders assume positions with a "power gap" (p. 196) because the power that comes with the position is typically not sufficient to lead an organization. There should be no argument that the president is the leader of the organization. It is important that there is no perception (or that the reality exists) that trustees are too involved in the daily operations of the university, and therefore, diluting the authority of the president. Bolman and Deal (2003) agree, "authorities have position power, but must vie with many other contenders for other forms of clout" (p. 200). The power and influence of the president is necessary to lead the university and to partner with the governing board to make decisions and create a shared vision. According to Bolman and Deal, sources of power also relate to who has control over agendas and how alliances and networks are effectively used to manage the organization. In addition to the partnership with the governing board, which has the ultimate authority for setting policy, the president must also team with faculty members, who develop and deliver the educational product of the university.

Types of Presidential Power

In the book *The Power of the Presidency*, university presidential scholar Fisher (1984), describes five types of power in relation to the university president: coercive, reward, legitimate, expert, and charismatic. In universities within a shared governance context, coercive power, which influences using coercion and threats, is the least effective and is not appropriate in any situation. According to Fisher and Koch (1996), coercive power should be avoided because it results in resistance, retaliation, and a negative working environment. The four appropriate types of presidential power, especially used in a partnership context with the governing board, are explained as follows.

Reward power. Reward power, which is often misused and misunderstood, is the act of providing favors, recognition, or benefits to someone to achieve a desired response. In some limited cases, rewards can be a good way to bring some of the problematic people into the fold to help a president advance a project or agenda; it is not a recommended practice. Rewards are unlikely to make a long-term and significant impact on people or the organization (Fisher, 1984). Also, reward power will not change the behavior or attitudes of those who received rewards (Fisher & Koch, 1996). In the university environment where equity and parity are very important, reward power, if used, must be handled very delicately. The most effective use of reward power is subtle, usually in the form of kind words, thoughtful recognition, public support, and appointment to administrative and committee positions. Many presidents will use this type of power in conjunction with the governing board by allowing special recognition at trustees meetings.

Legitimate and positional power. The concept of legitimate power is somewhat more extensive. It relates not only to the legitimate process by the governing board that selected the

president, but to how the president conducts the duties of the office and distributes authority

throughout the administration. The basis of this type of power is social and deals with the way

faculty, staff, and other constituencies accept the behavior and actions of the president based on

group norms (Fisher, 1984). Essentially, individuals expect a leader to use the authority of his or

her office to take specific action within the organization, but this must be done in ways that are

acceptable to the group. Problems in any organization, universities included, can occur when

authority is not used and the duties of the office are not carried out. Fisher calls the inaction of a

president to use the power afforded to the office and legitimized by the organization, a "power

vacuum" (p. 34).

The president has positional power, but when he or she is recognized as a legitimate

leader, it makes the issuing of commands or guidelines easier for the president and the group he

or she is leading. Fisher (1984) notes that followers have more confidence in leaders who are

appointed to positions rather than those who are elected. Fisher further says that legitimate power

is effective and necessary, and that followers are more accepting of leaders when they are in

agreement with their actions and policies. The review of legitimate power leads into the two

remaining aspects of power that are derived primarily from the individual (expert and

charismatic) versus those that come from the organization (reward, coercive, and legitimate).

Expert power. According to Fisher (1984), expert power is one of the most effective

types of power that a university president can use. This type of power reflects the esteem and

regard given to someone who is presented to a group as its leader. There are two ways that expert

power can be utilized. One way is for a president to be selected by a search committee and

appointed by the governing board; it is assumed that the individual selected has the requisite

experience and skill level and should be in the position. The other way is for the individual to

learn by doing, to grow into a position and assume the mantle of being an expert. Expert power occurs in this form usually when someone has been promoted through the ranks of university administration to the presidency. When the university's faculty, staff, and constituencies believe the president is a true authority on all aspects of the presidency, it makes decision-making easier and builds a reservoir of support. "Clearly, as a leader attempts to garner support for a particular cause, it is valuable for him or her to be perceived as an expert, for it both inspires support for a common cause and reduces unproductive conflict" (p. 38).

Charismatic power. The final form of power is charismatic, which Fisher (1984) cites as an effective form of influence. Charismatic power is based on the esteem and fondness people feel for the person in the leadership position. J. W. Peltason (personal communication, November 5, 2002) stated:

> The university is held together by talk and communication. Presidents cannot command anything; students, faculty, board or regents, or the legislature. It is important for them to use their power of influence and personality to move the university forward.

Presidents who lead with charismatic power use their personal credibility and relationships that are created to move an agenda and to make decisions. Typically, presidents who exercise charismatic power will have more effective and positive relationships with the governing board. That does not mean that a board will not challenge the president when necessary, but it makes the day-to-day relationship more productive and builds a reservoir of trust. The other constituencies of the university also will follow a leader who uses charismatic power, and will defend him or her when unpopular decisions are made. Leaders who use charismatic power usually provide an atmosphere full of energy and enthusiasm that encourages followers to become involved and want to cooperate. Fisher and Koch (1996) state, "The most effective

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leader combines charismatic power with expert power from a legitimate power base, adding

carefully measured portions of reward power and little or no coercive power" (p. 39).

Based on the types of power they exercise and the partnership with the governing board,

presidents could also be considered to be politicians, as defined by Bolman and Deal (2003).

These authors write that managers in the political frame have "to develop a direction, build a

base of support, and learn how to manage relations with both allies and opponents" (p. 204).

Effective presidents use relationships with the governing board to outline the need for change,

and to move a shared agenda and context forward for discussion and collaboration.

Communication is also a key in the effective partnership between the governing board and the

president to allow for buy-in and collaboration. The president, as leader, is accountable to the

governing board for everything that is done at the university. "From a political perspective,

goals, structure, and policies emerge from an ongoing process of bargaining and negotiation

among major interest groups" (p. 201).

Presidential authority. People tend to use the words authority and power

interchangeably, but they should more accurately be thought of as distinct, with authority defined

as a right granted to represent or to act in a specified way, and power defined as an earned

capacity or ability to direct or influence the behavior of others (Kohl, 2010). Birnbaum (1999)

states:

> On a college campus the exercise of authority in governance is not solely an
>
> administrative prerogative but, rather, a shared responsibility and joint effort that
>
> properly involves all important campus constituencies, with particular emphasis given to
>
> the participation of the faculty. (p. 327)

Later in the study, the role of constituencies, including the faculty, in the partnership between the

president and governing board is presented.

The AGB Report (1984) *Presidents Make a Difference* produced under the leadership of Clark Kerr, stated 850 college and university leaders labeled the president's job as stressful because of intrusions from other stakeholders, including governing board members, faculty, and alumni. Further, the report determined that presidents, in many cases, failed to be given adequate authority to meet their assigned responsibilities.

With regard to that authority, Kaplan (1978) identified four forms assigned to the presidency: (a) express authority, which is assigned in writing through such documents as a job description, law, or board policy; (b) implied authority, which is inferred from express authority; (c) apparent authority, which is assumed unilaterally when no authority has been assigned; and (d) inherent authority, which is used as an emphasis on institutional order and historical culture. Cloud (1992) further concludes that judicious presidents act on the expressed authority issued by policy and/or law, and act only rarely and prudently on implied authority. Cloud asserts that the reason for this is that a doctrine offering university presidents official immunity has in recent times been abolished in many states.

Unlike the role of university president, boards of trustees are governed by operational guidelines for exercising authority that are defined by the AGB (2012) as "policies that clarify the components and implementation of its legal fiduciary responsibilities" (para. 1). These policies may be expressed through statements of purpose and organization, with bylaws, as noted by the AGB, "clearly the most essential" (para. 2). Bylaws consistent with the law of the community, state, or federal government, are also expected to answer "the board's needs, and the highest principles of fiscal integrity" (para. 2). AGB further recommends a series of official texts, records, and other policies to facilitate effective governance. They include: (a) committee

charges that are approved and maintained by the board, (b) a statement on trustee responsibilities that details the expectations for individual members, (c) a code of conduct and ethics, (d) criteria for selection of new trustees, (e) an investment and spending policy, and (f) a conflict of interest policy (para. 5).

The nature of the partnership between the governing board and the president impacts how the president does his or her job and the types of authority and/or powers the president exhibits. Fisher (1984) notes it is important for presidents to realize trustees are responsible for governing the university and presidents are responsible for leading it (using various forms of power and authority). The president must interact with trustees respectfully, while using both charismatic and expert power. When the president is hired, he or she has a high level of expert power and must persuade trustees to support presidential initiatives by using charismatic power.

From a presidential perspective, Rhodes (2001) believes the responsibilities of governing boards of private colleges and universities are more structured and have less ideological and political influence than those of public institutions. He attributes this to shorter average tenures of public university presidents versus private university presidents, and to the highly politicized governing board culture in public institutions.

When a board is too involved in the day-to-day aspects of management versus focusing on its role in governance, the president's effectiveness, authority, and power are undermined. Therefore, this delicate balance requires the president to walk a tightrope between following the direction of the board and leading the board. Within a successful partnership, the president is authorized and empowered by the board to serve as the face of the institution, the focal point of leadership, and the personification of the institution's mission, goals, and policies (AGB, 2006).

As institutional leadership struggles to achieve effective governance and administration,

Kezar (2005) notes, "Campuses across the country are being asked to respond to a host of challenges: technology, diverse and changing populations, competition, financial stress, and globalization to name a few" (p. 635). These external forces for change also are accompanied by a greater demand for accountability from college and university leadership and increased partnership with the governing board (Kezar & Eckel, 2004).

Elements of an Effective Governing Partnership

The effective partnership between the governing board and the president creates a university that has the essential elements of a learning community: servant leadership, moral purpose, sense of trust and mutual respect, shared purpose, and a system of collaborative decision making (Hiatt-Michael, 2001). As guardians of the university, governing boards, with the advice and counsel of the president, must make policy decisions that are fundamentally fair and without bias to any party or person involved. The decision-making processes of trustees should be grounded in utilitarianism, which encourages decisions based on impartiality, creating no preferential treatment or negative outcome for one group or another, and with the best decision being one that maximizes benefits for all concerned (Newton, 2004). In that sense, making effective governing decisions should involve honesty, integrity, clarity, and the respect for the opinions of others, while understanding the effect those decisions have on others.

The Josephson Institute of Ethics (2004) developed six pillars of character, which seem to integrate and reinforce effective governing decision-making processes: (a) trustworthiness, (b) respect, (c) responsibility, (d) fairness, I caring, and (f) citizenship. The two pillars, in the context of effective governing board decision making, that need further clarification are responsibility and citizenship. Responsibility is defined as taking accountability and having a sense of duty when doing something, which relates directly to the obligations trustees have in

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governing their institutions. Citizenship involves taking ownership for outcomes and recognizing the campus constituencies are part of a broader community and are essential in the decision-making process (Josephson Institute of Ethics, 2004; Kerr, Gade, & AGB, 1989; Nason, 1982).

Servant leadership. There are many leadership definitions and styles, just as there are multiple types of power. In the context of this study, the most effective style of leadership in the partnership of governing boards and presidents is servant leadership. The role of trustees, as discussed earlier in the study, is to protect and maintain the viability of the university and to serve its mission (Nason, 1982). Servant leadership, based on the work of Greenleaf (1977), simply stated, is putting the needs of the organization above one's personal needs and creating an environment that is inclusive, supportive, and enables individuals to reach their highest potential. In his work on servant leadership, which expanded on Robert Greenleaf's original concepts, DePree (1992) contends that servant leadership is like being the leader of a jazz band; while you may not play an instrument, people depend on you to hear the music. This analogy is relevant and significant because it relates to the way the governing board works together as a team, the way the president and trustees partner together, and the way the president leads the university.

DePree (1992) cites five qualities that servant leaders demonstrate to their followers: (a) integrity in all things, (b) the servanthood of leadership, (c) accountability for others, (d) equity, and I vulnerability. In the practice of servant leadership, followers must believe that their leaders are committed to them and have a shared vision. Trustees, in their work of establishing policy and providing the necessary resources for and advocacy of their president, demonstrate through decisions and statements that their purpose is to support the needs and aspirations of the university's constituencies. Also, based on DePree's work, accountability for others means including individuals from all levels of the organization in the process of leadership; this is how

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shared governance with the faculty, staff, students, and other university constituencies is executed.

A significant component of servant leadership, as described by DePree (1992), is the practice of equity in the distribution of resources. The practice of equity in all aspects of university governance is a fundamental ethical issue. In the practice of servant leadership in the effective partnership between the governing board and the president, a sign of strength is not just sharing hopes and aspirations, but also being realistic and discussing challenges and institutional limits with the university community. When the governing board and the president are open and honest with the individuals they lead, it is a sign of authenticity, which builds trust and engenders loyalty (Cashman, 1998).

Values: Authenticity, emotional intelligence, and balance mastery. Another leadership concept in the effective partnership between the governing board and the president is clarifying values early with each other and with the university community. In sharing values with those in the university community, the trustees and the president demonstrate in a public way their commitment to the mission of the institution and, more important, how they define organizational norms, determine institutional priorities, and how they will respond to emerging issues, set policies, and make decisions (Kouzes & Posner, 2002). Governing, especially in private institutions, is not a public process, but if trustees, through the president, establish a sense of transparency whenever possible, sharing some details of the decision-making process, the constituencies of the university will feel included and appreciated, and will understand why and how things happen (Cashman 1998; Nason, 1982; Robbins, 2003; Senge, 1990).

Authenticity and emotional intelligence are also component parts of the partnership between the governing board and the president. To establish trust and open communication with

each other in their respective roles, the trustees and the president must demonstrate authenticity in self-expression, so that each party is aware of, in some sense, the other's perspective and point of reference (Cashman, 1998). Goleman's (1998) concept of emotional intelligence is also relevant to the ways the governing board and president relate to each other. For the partnership to be effective, it is important for the governing board and the president to share their true opinions and values even if they differ from the status quo and could in the short term cause some conflict.

In their interaction, the trustees and the president need to understand and value each other's opinions and remain sensitive to divergent perspectives. The trustees must encourage presidents, typically through the chair of the governing board, to take the risk to be open and to share their thoughts, aspirations, and concerns about the future of the university. This openness creates greater cohesion in governance (AGB, 2006; Cashman, 1998). When the governing board is open, inclusive, and supportive of the president, he or she feels enabled and comfortable in being innovative, challenging the status quo, making inclusive long-term decisions to lead the university, and discussing educational policy issues beyond the institution. Trustees and presidents who have effective partnerships are more able to develop a vision with plans and initiatives that transcend their own perspective and mental models to serve the greater good of the institutions and communities they serve (Rhodes, 2001; Senge, 1990).

Cashman (1998) teaches the concept of balance mastery, which relates to work-life balance. Governing boards must understand that while university presidents are accomplished academic leaders, they need to be encouraged to continue to develop their skills and to take time for professional and personal renewal through sabbaticals, conferences, and workshops (AGB, 2006). By allowing presidents to develop themselves in all aspects of their lives, including time

for family activities and professional development, governing boards will find that the work of their leader and the overall effectiveness of the partnership will be enhanced and successful (Cashman, 1998).

The Partnership in Creating a Learning Community-Organization

One of the key responsibilities of the governing board and the president is to create a shared purpose and vision for the university (Robbins, 2003; Senge, 1990). With a shared purpose that is well understood and communicated to all stakeholders, an alignment of practice occurs on a fundamental level for every member of the campus community (Robbins, 2003). Typically, all who are associated with governing and managing universities, specifically trustees and administrators, understand that serving students, faculty, and alumni is the top priority of the institution; those constituencies are the reasons universities exist. As part of the shared purpose of the university, a very important aspect of an institution's collective management philosophy is treating others in a respectful way, encouraging dialogue and communication, and creating an atmosphere of teamwork and collaboration (Bridges, 2003; Hiatt-Michael, 2001; Senge 1990).

Senge (1990) notes one of the significant characteristics of a learning organization is having an inspirational shared vision. A shared vision allows university constituencies to buy into a mental picture of the future presented as an outcome of the partnership with the governing board and the president. When the governing board and the president have enthusiasm and excitement for the future of the campus, its academic plans, and the quality of the faculty and students it recruits, that collective vision permeates the university and makes everyone invested in the success of the campus (Rhodes, 2001; Robbins, 2003; Senge, 1990). Senge's (1990) concept of personal mastery as a component of a learning community is also relevant in effective governance. Personal mastery is the process of developing and clarifying our individual interests

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and vision. In part because the university is a learning laboratory by design, there is focus on every team member developing his or her personal competencies and strengths (Buckingham & Clifton, 2001; Senge, 1990). Effective governing boards and presidents create collective visions by making the needs of the students a priority, valuing the contributions and strengths of faculty and staff, building positive and collegial relationships with each other, and practicing civility (Buckingham & Clifton, 2001, Kouzes & Posner, 2002).

Regardless of the position or level of responsibility, when someone decides to work with or for an educational institution, he or she usually believes in its mission and the purpose it serves. Unlike corporate directors, college and university trustees are not paid to serve on the board. While salaries have risen for university presidents throughout the years, they do not match the level of compensation for business executives, who in many instances have fewer responsibilities. Trustees, presidents, faculty, and staff are working in higher education because they are committed to serving a higher calling of educating and serving the citizens within their community; this is the cause that binds them together as a learning community (Hiatt-Michael, 2001).

According to Robbins (2003), "The actions of top management also have a major impact on an organization's culture" (p. 235). Governing boards encourage presidents and university administrators to establish a tone of inclusiveness that is communicated throughout the institution. This alignment of practice occurs on a fundamental level for every member of the campus community. Encouraging and promoting humanistic personnel policies and practices, having open-door policies, holding open forums, and maintaining transparency in decision making further support the concept of a learning community.

Collaboration and communication. An important leadership and communication tool in

the effective partnership between the governing board and the president is the concept of using

ongoing regard as defined by Kegan and Lahey (2001). Ongoing regard is a direct form of

communication that is nonattributive and enhances the quality of interaction between coworkers

by "informing the person about our experience" (p. 101) in dealing with him or her, rather than

making a judgment about the other person's behavior. Ongoing regard is used to create a

supportive working environment that can help maintain positive morale at all levels of the

organization. Instead of using you statements, which are attributive and could potentially be

misinterpreted, one uses I statements, such as "I appreciate your help with…" (p. 100), which

express how the coworker's actions impacted the other's behavior. A strong channel of

communication between the trustees and the president is essential in governing the university

(Robbins, 2003). Presidents should always be able to have private conversations with the

governing board that allow for the free exchange of ideas without fear of embarrassment or

contradiction (Bridges, 2003). In turn, the president and the administration must provide similar

opportunities to the constituencies of the university to discuss issues and to provide opinions and

perspectives.

Public agreement. Governing boards and presidents also employ the concept of public

agreement, which relates directly to organizational integrity and culture (Kegan & Lahey, 2001).

Public agreement is an understanding between the trustees and the president regarding how

university business is conducted, how decisions are made, and how they will generally interact

with each other. In many cases, it is an implied agreement based on historical and organizational

norms, or common understandings that are reached during the hiring of the president (Kegan &

Lahey, 2001; Robbins, 2003). One of the important steps in becoming a learning organization is

managing how the governing board and the president facilitate the working and educational

environment to connect individuals to the purposes and mission of the university (Hiatt-Michael, 2001). For the partnership between the governing board and the president to be effective, it is important that both are committed to shared decision making, empowerment, and teamwork with a strong sense of trust and openness (Robbins, 2003).

Trust. An essential and more difficult to define element of the relationship between governing boards and presidents is trust. Essential to the effective partnership, trust is often derived from respect for each other's values, a regard for the ways in which each party can enlighten the other, accountability for areas of responsibility, and the ability to derive meaning and fulfillment from the collaboration. Such trust undergirds the potential for effectiveness (Johnson, Summerville, & Roberts, 2010). As articulated by Chait et al. (1993), "a group cannot easily develop or sustain unity if even a small minority of its members chronically feel that they are excluded from some inner circle or kept in the dark while others are always 'in the know'" (p. 44). Trust is indispensable when undertaking one of the institution's most critical responsibilities: envisioning and executing an effective plan for the future.

Politics and Conflict: The Governing Board and the President

In the context of how the governing board and the president work together, politics and conflict can be issues of note and both are present in conducting business and decision making on a daily basis. For any president to be effective, he or she must view the political frame of his or her work as a necessary component of getting things accomplished. Bolman and Deal (2003) define politics as, "simply the realistic process of making decisions and allocating resources in a context of scarcity and divergent interests" (p. 181). Bolman and Deal examine the elements of the political frame through the lens of how power is exercised, coalitions are created, conflict is managed, goals and visions are agreed upon, and resources are allocated. The president is the

leader of the university and the focal point of decision-making, but the governing board sets the vision and has the ultimate authority for the governance of the institution. For the partnership between the governing board and the president to be effective, the human dynamics of power, politics, and position must be handled appropriately.

Bolman and Deal (2003) define organizations in the political frame as coalitions of people who come together to work on shared interests or to promote a common agenda. In that context, power is not only a component of the political frame, but how leaders exercise it is also important for the decision-making process and the allocation of resources. The authority and power of the president is based on relationships, experience, and the president's professional background as a recognized expert in the field. In discussing the need for power to be distributed within any structure, Bolman and Deal write, "A decision maker's power also depends on constituents' leverage and satisfaction" (p. 196). While the president is typically recognized as the leader of the university, in many cases, it is more effective to deemphasize his or her positional authority, work to facilitate the leadership roles of others within the organization, and promote stronger coalitions with trustees and other constituencies.

Even in the most effective partnerships between the governing board and the president there is the potential for conflict. According to Bolman and Deal (2003), conflict within organizations as part of the political frame is natural and should not be viewed as a negative aspect of leadership. In the political frame, the focal point is not necessarily the elimination of conflict, but managing its effects to further the organization's goals. One of the most effective ways to deal with conflict, both in an organizational and interpersonal context, is to anticipate it and manage it as much as possible. Presidents must work closely with the governing board and the other constituencies of the university to be aware of the inner workings of the institution in

order to predict issues that might result in conflict.

According to Bolman and Deal (2003), "Conflict is particularly likely to occur at the boundaries, or interfaces, between groups and units" (p. 198). Robert C. Maxson, a former college and university president of both private and public institutions, in citing potential causes of conflict, suggests that conflict occurs when there is a lack of information throughout the organization and when individuals feel left out of planning discussions (R. C. Maxson, personal communication, March 31, 2004).

As a means of managing conflict, Maxson recommends using every available opportunity to open channels of communication and allow for input into decisions. "Proactive communication, ahead of any potential problematic or controversial issues, helps make transitions easier and builds a reservoir of support for the future" (R. C. Maxson, personal communication, March 31, 2004). Maxson believes that finding ways to engage individuals outside the boardroom and the work environment builds trust and allows for broader opportunities for communication, which can manage or alleviate conflict. Rhodes (2001) states that whenever there is the need for a president to interpret and implement a particularly controversial board policy or directive, "personal leadership and diplomacy [of the president] become of even more importance in reaching a resolution" (p. 219).

Balance in the partnership between the governing board and president must always exist. While presidents have the positional authority to run the university, if they must rely on personal authority to force the governing board to support decisions or to move agendas, the partnership is not effective and is subject to failure (M. F. Walda, personal communication, March 5, 2012).

The Presidency: A 360 Degree View

Cowley (1980) notes that the president is the only person who has a 360-degree view of

the institution and its work. Cowley wrote:

> No one but the president sees the whole [university], and hence he or she has the best
>
> opportunity and the most insistent obligation to plan for the future…and apply his or her
>
> scholarship to the development of the institution at large. (p. 69)

This explains, in part, why the role of the president is so important.

The Responsibilities of the Presidency

In partnership and with the support of the governing board, the president is the most visible articulator of an institution's mission, priorities, strategic planning, and goals (Duronio & Loessin, 1991; Fisher, 1993; Kinnison & Ferrin, 1989; Patton, 1993). The college or university president has ultimate responsibility for leading the execution of institutional policy and overseeing management of academic programs, campus operations, and the institution's financial security. In this regard, the president is held responsible by the governing board for the success of the institution, which may also be defined by the success of its faculty and students.

Former university chancellor and author on presidential and academic leadership, Birnbaum (1999) writes, "There is no standard definition of the presidency or description of the expectations placed on the performance of its incumbents" (p. 325). While there are some basic characteristics of the university presidency in the more than 3,500 colleges and universities in the United States, the role is defined not only by the size and complexity of the institution, but also by the relationship that the incumbent has with his or her governing board. It is the essence of that relationship that is the genesis of this study.

Birnbaum (1999) based on the research of Cohen and March, dissects the position of university president into three areas and responsibilities: administrative, political, and entrepreneurial. The administrative role consists of the operational responsibilities of the

presidency, including providing supervision of both the academic and administrative enterprise and its faculty and staff; policy implementation; and fiscal management and budget allocation. The political role is how the president works with the constituencies of the institution, including faculty, staff, and alumni, to lead and manage the university business in a highly politicized environment. Birnbaum notes, "The president must often form coalitions and propose compromises that will permit peace with progress" (p. 326). The president as entrepreneur explains how the president manages and expands the university's economic footprint and financial base. In this aspect of the presidency, fundraising, development from private and public organizations, endowment management, bond issues for facilities construction and enhancement, and other types of revenue enhancing activities are significant operations within the university.

Economics and planning. To discuss completely the role of the university president as it relates to economics and planning would take countless volumes. The duties and responsibilities of the president are as individual as the institutions they lead. However, there are routinely consistent obligations and leadership qualities that undergird every presidency. In one form or another, the decisions the president makes and the governing board supports (or alternatively, the decisions that are not made) can have a wide range of economic consequences for the university. As academic and operational costs increase, it is becoming increasingly important for the university to solicit more monies from external sources for university projects and initiatives. Throughout the past 2 decades, the traditional sources of financial stability for most universities have diminished because of declining enrollments, reduced federal appropriations, and stagnant revenue from auxiliary enterprises (i.e., bookstore and campus dining revenue). Therefore, finding alternate sources of financial support is necessary to maintain solvency for many institutions (Nason, 1982).

The president, in partnership with the governing board, will be required to direct and manage major fundraising campaigns and appeal to the governing board, not only for funding support, but for assistance in developing partnerships and engaging in discussions with foundation executives and senior corporate and alumni leaders to garner their support. While the ultimate responsibility for widening the university's financial support typically is the responsibility of the president, the development of a fundraising program requires the oversight and active participation and engagement of others, including the governing board, the development staff, and a cadre of volunteers, including alumni, parents, faculty, students, and friends of the institution throughout the community (Terrell & Gold, 1993). As the cost of education rises and the economic environment decreases donors' ability to support the institution, the role of the president and his or her ability to raise funds continues to increase in importance. In times of economic challenge, the president is likely to be even more involved in soliciting monies from external sources for university projects and initiatives. The governing board, because of the members' broad-based relationships and business expertise, is vital in this regard as well.

In addition, presidents need to develop comprehensive plans to deal with budget shortfalls, the allocation of resources, and assessment of program and service outcomes. Moore (2001) states, "Presidents play a primary role in acquiring and allocating resources, and it is within these management activities that institutional politics become most evident" (p. 9). The university president has direct overall responsibility for the university budget; however, it is important that the key campus representatives have some input in the process.

Typically, the phrase strategic planning is frequently used in the corporate world. In higher education, while planning is essential, it is usually a process that is reprioritized when

another priority that is perceived to be more significant surfaces. At many educational institutions, the president uses strategic planning as a means to reach consensus on how resources are allocated. Strategic planning can also help the university maintain solvency. Many governing boards and presidents use planning as an integral part of the administrative process (Moore, 2001).

For planning to be successful, it must be inclusive of the entire university community. According to the AGB's (2006) *The Leadership Imperative:* "The president must create a framework for participation that allows the faculty, the senior leadership team, the governing board, students, and other stakeholders to trust a president and accord the support required to advance the institution" (p. 6). Because of the faculty's role in academic and administrative issues, planning frequently becomes a more consultative process. However, for planning to be successful on a university campus, the president must be viewed as the leader, advocate, and facilitator of the process, even if the chief responsibility for articulating the process is delegated to another administrator, typically the provost. Moore (2001) states, "An effective planning process should facilitate the president's ability to provide appropriate academic, managerial, and community leadership" (p. 6). While resources and budgeting are areas that a president will delegate to a vice president for finance and administration, just as in a business setting, in higher education the ultimate responsibility rests with the president as the chief executive officer.

Administrative and academic structure. Presidents are the institution's operational leadership, management, and vision focal point and they are the only employees directly hired by the governing board; however, an administrative bureaucracy and infrastructure is necessary for the university to run effectively. The foundation for and expansion of the modern academic and administrative organizational structure in American higher education began in the late 1800s. As

universities enrolled more students and grew more complex, the need arose to create an administrative structure to assist the president in carrying out his or her responsibilities. Academic departments and professional schools were established to organize how instruction was delivered and how faculty governed the academic programs of the university (Duryea, 1991). Academic departments were designed based on the academic disciplines and professional specializations. "The appearance of departments as organizational entities accompanied the expansion of knowledge—particularly scientific and technological" (p. 8). As enrollments increased, the need for additional faculty, classroom, and laboratory space required that an administrative staff be hired to provide support to the growing university structure.

One of the first documented cases of the creation of an administrative structure was the appointment of a vice president to handle operational responsibilities at Cornell University in 1878 (Duryea, 1991). According to Duryea, this position was created in response to the increasing role of the president in managing the expansion of the university, including building new facilities, overseeing new academic programs, and hiring faculty. The responsibilities delegated from the president included managing junior faculty, responding to various inquiries, and representing the president in his absence. At that time, the president of Harvard University created the position of dean of the college faculty to serve as the primary contact with students.

Initially, the president of the university was charged by the governing board to manage all aspects of the institution; administrative support was part-time in nature, with professors taking on additional responsibilities for what are known as student services functions (i.e., registration, business affairs, and library services) (Duryea, 1991). Snyder (2002) states, "Presidents left the classroom and the ranks of the faculty and delegated responsibilities to deans, registrars, and comptrollers" (p. 1). In doing so, the president became less of a faculty member

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and more of an executive or administrator. Duryea (1991) states that with the expansion of the academic and administrative bureaucracy and the establishment of a full-time executive as president, faculty "as the authorities for their respective specializations assumed more and more control over academic affairs" (p. 8). Throughout the 1900s, the university hierarchy and administration expanded to include school- and college-level deans and central academic officers as well as administrative leaders for student affairs and operational functions.

The administrative structure is usually established years prior to a president's arrival at the university. Universities are typically organized in operational units, often headed by a vice president, as reflected in Figure 1. The vice president, who is organizationally the most senior and is responsible for instructional programs, usually leads the division of academic affairs. The chief financial officer or treasurer is responsible for budget, human resources, facilities, and information technology. The vice president for student affairs manages academic and student support services (i.e., admissions and records, financial aid, and student housing). The general counsel serves as the chief legal officer and manages the compliance function as well as provides oversight for risk management and governance for the university. The vice president for institutional advancement and university relations is responsible for external relations, fundraising, and governmental relations. During their tenure, most presidents will have the opportunity to replace one or more of these senior administrators. However, when doing so, they should include constituency representatives in the selection process (B. A. Porter, personal communication, January 23, 2012).
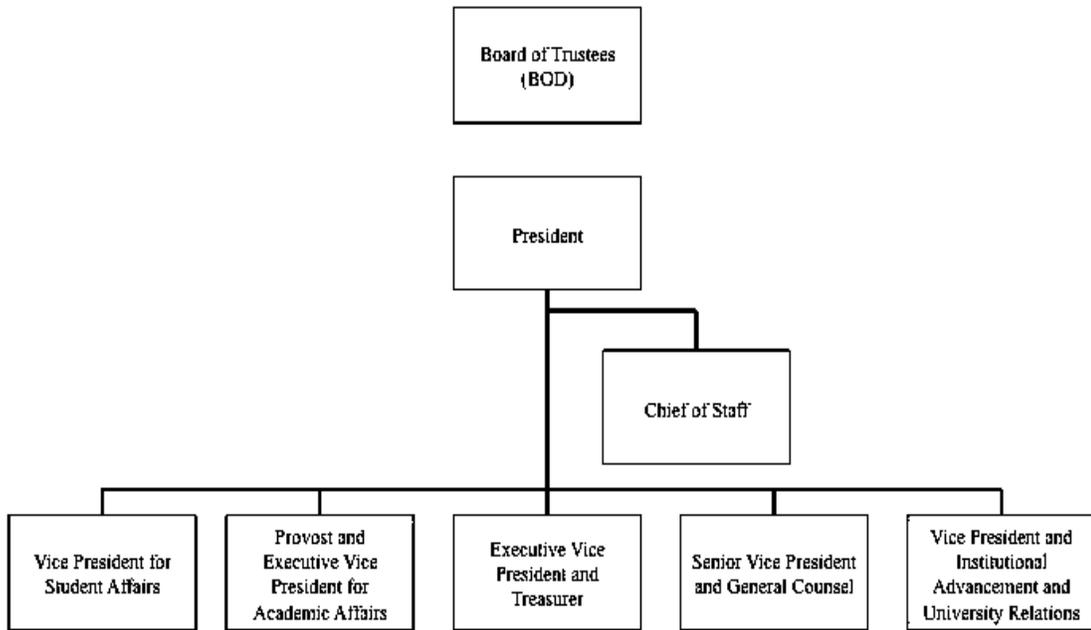
Figure 1. Sample administrative organizational chart. An example of a basic senior level administrative organizational chart.

Staffing the work of the governing board. Effective staffing of trustees enhances the partnership between the governing board and president. The university president is not only the institution's executive and academic leader, but he or she is the primary staff member of the governing board as well. While the governing board, as a group, has responsibility for the oversight and governance of the university, the work of the trustees happens through its committee structure that the administration staffs.

In addition to providing operational support to the president and working to manage the university on a day-to-day basis, the administrative infrastructure also plays an integral part in staffing and supporting the work of the governing board. The governing board's responsibilities are typically organized by standing committees that are determined based on the size of the board and the structure and complexity of the university. The president is ultimately responsible for partnering with the chair of the governing board to coordinate the operations of the board and

its committees (Ingram, 1993). The work of the committees is usually defined in either the

university charter or bylaws and is staffed by a senior member of the president's administrative

team. Table 1 provides an idea of the typical administrative staffing for governing board

committees.

Table 1

Staffing for Governing Board Committees

Board Committee	Administrative Officer
Committee on Academic Affairs	Provost or Chief Academic Officer
Committee on Buildings and Grounds (Real Estate)	Chief Financial Officer Executive Vice President and Treasurer
Committee on Development	Vice President for Institutional Advancement and University Relations
Committee on Finance (Finance and Audit Committee and/or Investment)	Chief Financial Officer
Committee on Student Affairs	Vice President for Student Affairs
Committee on Trusteeship (or Governance)	Senior Vice President and General Counsel
Executive Committee	President
External Relations	Vice President for Institutional Advancement and University Relations

Committee members are appointed by the chairman of the governing board in

consultation with other senior members of the board and with input from the university president

(Ingram, 1993). Staffing assignments for governing board committees often align with the

university administrative structure and are staffed by senior members of the administration

designated by the president. "The president and other senior officers have almost everything to

do with determining how effectively the board functions" (p. 317).

The Role of Constituencies in the Governance Process

The exploration and evaluation of the partnership between the president and the

governing board is the primary focus of this research project. However, effective governance of

the university also depends on the president's relationship with other constituencies within the university, primarily faculty, students, staff, and alumni (Balderston, 1995; Cowley, 1980). With a well-cultivated and inclusive constituency, the governing board and the president can articulate the purpose and vision of the university. A well-understood and communicated mission and vision allow for alignment of practice and an effective leadership team (Robbins, 2003).

Faculty. Fisher (1984) states, "Faculty members are the body and heart of a college or university" (p. 101). One of the most political issues that any university president will encounter is his or her relationship with the faculty. On university campuses, the concept of shared governance, inclusive of faculty participation, is political and is taken extremely seriously. Bok (2003) states that all universities, both public and private, "have some forms of faculty governance in which professors participate with the administration in crafting academic policy" (p. 190). Presidents who are otherwise capable and well liked have lost their jobs and had their careers ruined by a negative run-in with faculty leaders or by leaving faculty out of the decision-making process. Governing boards will usually look to the faculty for participation in and endorsement of academic programs and policy (Cowley, 1980). In some cases, governing boards have sided with the faculty on academic issues against the president.

The idea of establishing a formal role for faculty input in the administration of the university began with the establishment of the American Association of University Professors in New York City in 1915 (Scott, 2002). The American Association of University Professors was created after university presidents across the United States, for a variety of egregious issues, dismissed several faculty members. One of the most notable issues in the early 20th century involved a faculty member at Stanford University, who openly criticized the university's primary benefactor and namesake, Leland Sanford. The president, at the request of Mrs. Leland Stanford,

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fired the professor, citing that the faculty member was not sufficiently scholarly.

Faculty members believe there is no better authority to recommend and approve the wide range of academic issues that occur on a university campus than they and their peers. In the early history of the American university, one of the main responsibilities of the president was carrying out faculty policies and decisions. In the evolution of the presidency, the president became less of a faculty member and more of an administrator or bureaucrat. Throughout a period of 300 years, that same basic premise has remained a constant source of debate (Duryea, 1991).

While it may be done in different ways and to varying degrees, depending on the governance structure of the university, there is always some formal process that allows faculty to have input in university decisions. Through the creation of a faculty senate and a structured committee process, faculty can provide expertise and participate in campus administrative issues ranging from the budget and tenure and promotion of other faculty, to the development and review of curriculum. Bok (2003) states, "Due to their unique positions on campus and within the university governance structure, the faculty joins with the governing board and the president as guardians of academic quality and integrity" (p. 189). AGB (1984) suggests that the governing board find ways to encourage faculty participation in the shared governance process by allowing consultation through membership on committees to provide advice and counsel to the university leadership.

Most universities have faculty handbooks or codes that state the role of the faculty in decision-making and the commitment of the administration in collaboration with the faculty. The following from Reichard (2001), is a passage from a typical faculty handbook:

Collegiality consists of a shared decision-making process and set of values that regard the members of the various university constituencies as essential for the success of the

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academic enterprise. Collegial governance allows the academic community to work together to find the best answers to issues facing the university. (p. 12)

The role of the faculty is significant in the life and administration of the university. Birnbaum (1999) states, "In higher education, the president functions between two layers of organizational operations, the trustees and the faculty, and is accountable to both" (p. 327). Nothing reinforces that statement more than the fact that degrees are conferred by the governing board and presented by the president and deans, but they are awarded on the recommendation of the faculty. If the president is inclusive and supportive of the faculty and makes a genuine effort to support its active participation in campus issues, the faculty will be more accommodating of the authority of the president. Consequently, presidents who have good relationships and are viewed as contributing to developing a positive morale and approach with the faculty are viewed as successful (Bensimon, 1991).

In the previous section, the type of power a university president can and should exercise was discussed. Unlike a corporate chief executive who is accountable to a board of directors and ultimately to shareholders in a profit-driven environment, the university president, while still responsible for bottom-line outcomes, must factor in input, advice, and counsel from the faculty of the university (Birnbaum, 1999).

Students. The role of students in the administration of the university, while not as political as faculty involvement, is unique to a particular president and the level of engagement the president affords students, or to long-standing cultures, traditions, and histories of an institution. At some universities, the student government has responsibility for student union buildings, recreational activities, childcare facilities, and food service concessions with millions of dollars in revenue annually. According to Cohen and March (1986), most presidents spend

only about 5% to10% of their time talking to students, and for the most part that contact takes

place with student government officers. Usually, contacts with students are made at the initiation

of the student rather than at the request of the president.

Fisher (1984) calls students the lifeblood of the university. While maintaining the need to

have a strong and independent chief student affairs officer, the university president should

interact frequently with students to gauge the pulse of the campus. A long-time public and

private university president, Robert C. Maxson, believes that students are just as important to the

president as faculty or any other group on campus. R. C. Maxson (personal communication,

March 31, 2004) stated:

> Students are the reason why universities are built. Our number one priority is the good
>
> education and welfare of the students who attend the university. I enjoy spending time
>
> with them and listening to them. Actually, I have gotten some great ideas about campus
>
> issues over the years from students.

There are a number of major university presidents who hold office hours especially for students.

Many presidents often invite club and organization student members to meet with their staff

regularly and to serve on campus advisory groups. Some go as far as spending nights in the

dormitory with students every semester to get to know them and ask for their input. Typically,

the faculty's work with the president has a more institutionalized role than any other

constituency; however, it is important to include the students and their opinions and concerns

(Balderston, 1995).

Staff. At some universities, there is a staff council structure created to provide a forum

for staff to give input and counsel to the university administration on issues of interest to campus

staff members. Staff councils also provide informal avenues for staff members to air concerns

and grievances. This type of organization provides the president and vice presidents with a formal structure to allow the rank-and-file staff members to have a say in university governance and decision making and provides a mechanism for strong avenues of personal communication (Robbins, 2003). Staff participation in the governance process enhances morale and provides opportunities for employees to be valued contributors in the university (Balderston, 1995; Gering & Conner, 2002; Gwynne, 2002).

Alumni. The role of alumni in the governance of the university is unique. Alumni are often called on to provide financial support and assistance to the university through their professional and personal networks. Because of their roles in the community, prominence in the business world, and giving history to the university, alumni are the primary prospects to serve as members of an institution's governing board. Alumni associations serve in a formal capacity providing advice, counsel, and volunteers to the university leadership. Often, graduates of the university provide input in the development of campus programs and can also offer internships and job opportunities for students and recent graduates (Cowley, 1980). Alumni provide checks and balance in the governance process by being able to assess practically the university's image in the community and the impact of its mission and services.

Organizational Culture and Constituencies

According to Robbins (2003), the actions of top management have a major impact on an organization's culture. Governing boards and presidents who create an environment of collaboration are more effective in governing the university and have more constituent ownership in the leadership's vision. Successful governing boards and presidents who value the contributions and strengths of faculty and staff with civility, trust, and mutual respect, typically have positive and collegial relationships with each other and have more support in the decision-

making process (Buckingham & Clifton, 2001; Hiatt-Michael, 2001; Kouzes & Posner, 2002). The partnership between the governing board and the president allows for a collective and shared vision to be created for the university, which permeates the organization and encourages everyone to be invested in the success of the campus.

How a president exercises power, works, and interacts with faculty, students, and the administration can define the success or failure of his tenure. Issues of power, constituency involvement, and decision-making are central themes in managing relationships within the institution. In some cases, the image of the president and his relationship with the governing board is helped or hindered by how he interacts with the various constituencies and the perception of how he makes decisions and exerts authority (R. C. Maxson, personal communication, March 31, 2004).

Educating the Governing Board

Earlier in the study, the roles and responsibilities of governing boards were outlined and discussed in detail. For trustees to be effective and perform their governance responsibilities well, they must understand the complexities of the university and the obligations of their role. Much of the education that trustees receive occurs through meetings and conversations with other trustees, the president, university administrators, faculty members, and others. Birnbaum (1999) states, "Trustees, who hold all of the legal authority, are primarily business executives who are more likely than the faculty to see the organization as comparable to a business firm" (p. 330). In that sense, the governing board needs to be educated about the culture and structure of higher education. The duality of the president's role in overseeing the academic and administrative affairs of the institution can present a challenge in managing relationships between the board and the constituents within the institution. Trustees may be less accustomed to

environments that lend themselves to models of shared governance, such as is common in higher education, and may have an expectation that initiatives will proceed upon sole agreement between the president and the board. However, there is still additional consultation and collaboration that is expected between the president and the faculty, particularly if the institution has a faculty senate or a similar group that provides input on the operations or governance of the institution.

As discussed earlier in the study, the president is the single employee of the governing board, but as the expert on academic and educational management, he or she must also educate or train the trustees on matters of governance and university administration (Nason, 1982). Nason suggests there are three specific phases of orientation for trustees. The first and most significant phase is when a nominee is asked to join the governing board by the chair of the board and the university president. During that initial meeting, the trustee learns about the time and personal commitment involved in joining the board, is told about the current programmatic and financial status of the university, and is asked if he or she has any major questions or concerns about serving. The second phase occurs after the trustee joins the board, meets other trustees, and spends time on campus meeting with administrators, talking to faculty, and touring facilities. At that point, the trustee receives copies of governing documents (bylaws, charters, etc.), board and committee minutes, annual reports, and budget materials.

The third component in trustee education is board retreats and workshops that allow for a greater depth of focus and attention on governance matters, specific university initiatives, or higher education issues of national prominence. In traditional training and professional development programs, the overarching goals are to distribute information, share new knowledge, improve the quality of professional performance, or share best business practices

(Queeney, 1996). According to Tyler's (1949) research, in order to create an effective training program, a needs assessment must be conducted to determine adequately what elements are required in the curriculum. Operationally, a needs assessment is a process that can be as extensive as using focus groups and formal questionnaires, or as simple as asking trustees basic questions about self-perceived knowledge gaps and what information they feel is needed to serve the university well (Queeney, 1996; Wiggenhorn, 1996).

Those types of discussions, typically led by the chair of the board, would develop a common frame of reference regarding the goals and expectations of trustees in the university environment and the various needs for training (Wiggenhorn, 1996). Many universities offer formal orientations for governing board members, which assist in establishing the context for trustee expectations and participation, specifically: (a) legal obligations of governing boards, (b) defining the differences between governance and management, (c) the role of the faculty, (d) meeting attendance and participation, I standards for trustee financial giving, (f) how the university operates and how decisions are made, and (g) background on academic programs and planning.

Characteristics of Adult Learners

In the education of trustees, either formally or informally, the concept and principles of andragogy must be considered. Knowles, Holton, and Swanson (1998) developed the six assumptions of andragogy as the basic characteristics of adult learners and why they learn: (a) the need to know, (b) the learner's self-concept, (c) the role of the learner's experiences, (d) readiness to learn, I orientation to learning, and (f) motivation to learn.

Adult learners approach education with a sense of urgency; they want access to the information they need to know to complete an objective or to develop a skill (Knowles, 1980).

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Graham and Donaldson's (1996) research determined that the life experiences and perspectives of adult learners greatly influence their overall approach to the learning process and their motivation to gain knowledge. Since most trustees are professionals and business leaders, they fit the profile of adult learners and are typically impatient and only want the specific information and details that are required at the moment.

Knowles et al. (1998) also note four development reference points for defining adult learners: biological, legal, social, and psychological. The key definition, which focuses on the learning process, experience, and the perspective of adult learning, is psychological, which Knowles et al. define as a "self-concept of being responsible for our own lives and being self-directed" (p. 64). Adult learners seek training and educational programs for personal development, which also relates to job advancement and upgrading skills. This interest will usually lead them to some training program to upgrade knowledge and, in many cases, learn vital new skills (Flint, 2000).

No matter what the structure of the training program or educational environment, adult learners gain a better understanding of learning requirements when they are related in some way to prior knowledge and experiences and to an existing need for information (Wagschal, 1997). According to Lyons, Kysilka, and Pawlas (1999), adult learners are more often problem centered and want to understand specific concepts and meaning, rather than just covering basic information. This profile certainly fits governing board members in an education or orientation context. Kolb (1984) believes the cumulative experiences of adult learners help facilitate their personal and professional growth and their reentry into any learning environment. Brookfield (1985) adds to the literature with the model of self-directed learning, which is the process adult learners use to set their own learning goals and take control of learning outcomes. Most

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institutions have a variety of resources that trustees can access on their own. For example, bylaws, governing documents, academic and strategic plans, campus facility master plans, and budget documents in most cases are on password-protected Web sites that trustees can review and use as reference materials at their convenience. Trustees, as adult learners, have a great internal motivation that allows them to be self-directed in a variety of situations.

In researching the characteristics of adult learners, Caffarella and Barnett (1994) note three distinctions that are worth exploring: role of the adult learners' prior experience and knowledge, how adults process learning, and adults' desire to be active learners. Adults process learning differently because of their varied experiences and time away from the learning environment. Caffarella and Barnett's research further relates to how the trustees will process information, "for example, some learn better through listening and reflecting, while others would rather visually see the material, and still others prefer to physically manipulate materials" (p. 31). As adult learners, trustees have the need to be active learners and resources to other governing board members and to the facilitator, who in some cases is the chair of the board or university president, as a way to help their learning process.

Another characteristic of adult learners, as Caffarella and Barnett (1994) describe, is the need for affiliation with others in the learning environment. By developing an orientation program for the governing board or encouraging board participation in educational and training activities conducted by the AGB, the president creates natural affiliations for board members with either their colleague trustees or those from other institutions. Because adult learners need to develop relationships and collaborative interactions, create support networks and teams, and use educational programs as social activities, any educational program for governing boards will enable the trustees to function as a learning organization (Hiatt- Michael, 2001; Senge, 1990).

The Role of Training in Trustee Education

The purpose of the training is to create highly prepared and effective trustees who can adapt to their institutional governance responsibilities and be successful. To create a high-quality experience, the training organizer and the facilitator (who could be either the chair of the board, the president, or a professional from the AGB) must know the cultural norms of the university, how decisions are made, and how change occurs. A roadmap should be developed to outline clearly outcomes and expectations for the training. Outcomes should include the positive integration of trustees into the organizational culture and enhancement of their knowledge of educational governance and the operation of the university (M. F. Walda, personal communication, March 5, 2012).

Leadership must give support in developing the training program (Sumberg, 1996). The governing board, its leadership, and the president strongly believe in the need for educating trustees as the foundation of a positive and constructive organizational culture. Also, participants should be involved in the development of the training program. McMahon and Merman (1996) state that the "input and enthusiasm of [trustees] not only can help make the [training] system work, but also can promote its on-going application" (p. 686). To operationalize trustee involvement in orientation, many universities have committees on trusteeship or governance that serve as the clearinghouse for discussions and information sharing. Another important element of effective training is behavior modeling. According to Miller (1996), behavior modeling is integrated into the curriculum without acknowledging it is there. The chair of the board and senior governing board members typically model the positive behavior.

Additionally, training should transfer appropriate skills and knowledge to the people being trained (Sumberg, 1996). In the case of trustees, all of the aspects of the organizational

culture and governance (e.g., university-wide mission, values, academic program information, and budget) are of interest to the entire group and vital to the group's effectiveness.

Cohen (1986) relates teaching adult learners to managing group dynamics and group decision-making processes. Trustees, as adult learners and in their professional activities, are used to working independently on projects and objectives, so getting them to work effectively as a governing board can be a new concept. As has been discussed previously in the study, the chair of the board and the president use key group leadership techniques, including conflict resolution, negotiation, and communication to coordinate the work and partnership of the governing board.

Having the chair of the board and/or the president serve in the role of facilitator creates a learning environment that allows for meaningful interaction and active participation among all trustees (Robbins, Doyle, Orandi, & Prokop, 1996). Rogers (1969), in his book *Freedom to Learn*, provided one of the most specific and conclusive definitions of instructors of adult learners, calling them facilitators of learning. According to Rogers, the facilitator sets the tone for the group interaction from the first meeting. It is critical that the instructor be prepared with content expertise, but that he or she also establishes norms based on mutual trust and respect. The facilitator also should establish a common frame of reference for the learners. Rogers notes that facilitators of learning view themselves as peers in most cases and should feel free to be authentic and honest in the classroom environment. The chair of the board is a trustee and, in most cases, so is the president of the university; both of them can provide context and are peers to the other members of the governing board.

Relationship of the Literature Review to the Study

The literature review provides a historical perspective of the establishment of governing boards in higher education and the early history of the creation and evolution of the presidency in

colleges and universities. The literature review also provides a discussion of the partnership between the governing board and the president, the influence of the chairman of the board in the relationship with the president, the types of power and authority exercised by presidents, how trustees are educated, and the impact of politics in governance. The role of constituencies, including faculty, staff, students, and alumni in the governance of the university, is also presented. All of these elements link to the purpose of this research, which is to examine the roles of the governing board and the president and their partnership and interdependence in the governance of the university.

Chapter Three: Research Methodology

This chapter addresses the research methodology employed in this study to answer the research questions about the private college and university president's role in fostering a partnership with governing boards as a mechanism for facilitating greater efficacy in trustee governance. Systematic attention to the relationship between the governing board and the university president is necessary if higher educational institutions are to leverage and benefit from this crucial partnership in an era of greater scrutiny and increasing demands for accountability. This chapter presents the research design and data collection methods that support the intent of this study.

Restatement of the Research Questions

To advance knowledge in this arena, the researcher sought to answer how, if at all, presidents ought to engage in the education of governing board members; and what presidents believe are the primary concerns, if any, in facilitating an effective relationship with governing boards. Table 2 lists the research questions with corresponding interview questions whileAppendix A gives the complete list of interview questions.

Table 2

Research Questions With Corresponding Interview Questions

Research Questions	Interview Questions
1. What role, if any, do presidents have in educating governing board members?	1. How often do you communicate with governing board members and in what context?
	2. How do you decide what critical issues to escalate to the level of engaging the governing board members and when should that engagement occur?
	3. How do you maintain balance between the board's role in governance and your role as leader and manager of the university?
	4. How do you "educate" trustees on institutional and higher education issues, generally?
	5. What steps do you take on a routine basis to foster a successful and effective partnership with the governing board?
2. What are the primary concerns, if any, that presidents have related to their relationship with the governing board?	1. How do you decide what critical issues to escalate to the level of engaging the governing board members and when should that engagement occur?
	2. How do you maintain balance between the board's role in governance and your role as leader and manager of the university?
	3. Is there anyone else who reports to the governing board other than you?

Research Approach

This study employed a qualitative methodology with a descriptive exploratory aspect to assess presidential leadership and effectiveness in relationship to governing boards at private colleges and universities. What follows is a discussion of the research approach, including data collection through interviews, the design and implementation of the interviews, and the ways in

which data were assembled, codified, and analyzed.

Research Design

As in similar studies that rely on the personal recollections and reflections of their

subjects, the research methodology for this study is a phenomenological study, which may be

defined as a research endeavor requiring a first-person perspective. Phenomenology, as described

by the *Stanford Encyclopedia of Philosophy* (2008) is,

> The study of structures of consciousness as experienced from the first-person point of
>
> view. The central structure of an experience is its intentionality, its being directed toward
>
> something, as it is an experience of or about some object. An experience is directed
>
> toward an object by virtue of its content or meaning (which represents the object)
>
> together with appropriate enabling conditions (para. 1).

While being primarily qualitative, the study also is descriptive in nature (Marshall & Rossman,

1989) to "describe the salient events, beliefs, and attitudes occurring in the phenomenon being

studied" (p. 78). The qualitative approach employed here is supported by documentation of

previous studies in human development that support the advantages of such research methods.

Harvard professor and psychologist Gilligan (1977, 1982) endorses the value of the qualitative

research methods approach in studying life experiences because it allows for the intersection of

accurate, real-life, relational experiences and the reflection of a diverse worldview in the

experession of relevant perspectives in research studies.

The validity of the qualitative approach is further supported by Creswell (1994) and

Locke, Spirduso, and Silverman (1993) in their work focusing on perceptions and experiences of

participants. Their work, similar to Gilligan's, determined that a qualitative tactic was

appropriate when the objective was the investigation of meaning, that is, how people interpret

their experiences and the ways in which those experiences shape their worldview.

Additionally, Marshall and Rossman (1989) state that qualitative research can be defined as that which is intended to "describe the salient events, beliefs, and attitudes occurring in the phenomenon being studied" (p. 78). Because this study encompasses the perceptions and attitudes of institutional presidents who are being interviewed, as well as their accounts of effective conduct, a qualitative approach is considered appropriate.

Population Studied and Participants

The presidents selected for participation in this study were individuals who were personally known by the researcher or had been referred to the researcher by the panel of experts for the study.

The institutions led by these presidents met the following criteria:

1. Each institution is private.

2. Each institution is not-for-profit.

3. Each institution is a governed by a Board of Trustees.

The institutions also were required to meet three additional criteria:

1. Each institution grants degrees.

2. Each institution has received accreditation from a recognized agency.

3. Each institution's population totals a minimum enrollment of 100 students.

The student body size of the institutions led by the presidents interviewed for the study ranged from a few hundred to more than 25,000.

The presidents interviewed for the study met the following criteria:

1. Each president was selected by a Board of Trustees or Governing Board.

2. The Board of Trustees has a minimum of 10 trustees.

3. The Board of Trustees must have a chairman who does not also serve as president of the university.

4. At the time of the interview, the president should be serving or have served (in the case of retired presidents) in the permanent role or had served in the interim role for a period longer than six months.

5. The president should give his or her consent to participate in the study.

Data Collection Strategy

Interviews. Interviews were employed to elicit answers from private college and university presidents regarding their relationships and efforts to achieve greater effectiveness in partnership with their governing boards. The interviews were designed to provide a narrative approach to the study typically referred to as an experience narrative (Thomas, 2003). The experience narrative provides for realistic and individualized perspective of life events.

In developing the questions to be used in this study, it was necessary to elicit a list of types of knowledge, skills, and behaviors that were most significant for the governing board-university president professional relationship. It was further necessary to review and consider the effectiveness and validity of the interview questions. A panel of experts was used to provide counsel in identifying the private college and university presidents, as well as, the characteristics, variables, and research questions to be used in the study. Based on the results of this review and consultation, the examples mentioned most often in each of the areas of knowledge, skills, and behaviors were incorporated into the inquiries.

The interview protocol in Appendix B details the organization and structure for the interviews.

Peer Review-Validity Review

Peer reviewers. Two peer reviewers who are experts in the field of educational research, and association, board, and administrative governance were initially consulted on the study's population. More significantly, the peer reviewers provided counsel on the structure of the research methodology, research design and strategy, and the development of the letters to the presidents. The peer reviewers provided a continuous audit and review of the data collection process to assist the researcher in maintaining the accuracy of collection and analysis process, and the research findings.

Each of the peer reviewers has more than 20 years of experience in associations, educational institutions, and organizations that possess various points of connection with the colleges and universities of the target population. The peer reviewers were Dr. Cathlene Williams, former Vice President for Education and Research of the Association of Fundraising Professionals; and Dr. Lilya Wagner, former Director of the Women's Philanthropy Institute and Associate Director for Public Service at the Center on Philanthropy at Indiana University. Each of the peer reviewers was familiar with the topic of study and had written and done research on leadership and governing boards. The background information on Williams and Wagner is included as Appendix C.

Panel of experts. Three individuals who had extensive experience as higher education administrators, authors, and recognized authorities in the field of university governance and leadership served as a panel of experts for the purposes of identifying presidents to be interviewed in the study, as well as, the verification-reliability of interview data in this study. These experts also provided support to the researcher in the development and refinement of the research questions for the study.

In addition, the experts consulted with the researcher on the interview questions asked of the university and college presidents surveyed in this study. The panel of experts assisted the researcher with the types of knowledge, skills, and behaviors that were most significant for the professional relationships between the governing board and respective university presidents. Each expert also participated in a discussion of characteristics and variables used in the study.

The experts include Dr. Carolyn Denham, former president of Pacific Oaks College; Stephen Joel Trachtenberg, university professor of Public Service and president-emeritus of the George Washington University; and Dr. Michael J. Worth, professor of Non-Profit Management at the George Washington University. The background information on Denham, Trachtenberg, and Worth is included in Appendix D.

Interview procedure. In requesting participation from the private college and university presidents, a cover letter was delivered to explain the purpose of the research, promising confidentiality of individual responses and indicating that respondents would receive a report of the aggregate results. Contact information was provided to the recipients should they have had questions prior to the interviews or following each session.

Once the researcher confirmed individual president's participation, a follow-up letter of confirmation was sent by electronic mail. Phone calls to confirm further the time and place of the interviews were placed a business day immediately prior to the scheduled interview.

Informed consent. Additionally, the participating presidents were asked to sign and return an informed consent form prior to participation. This form included information regarding the purpose of the study, a description of the participant's involvement and rights, and the minimal benefits and risks associated with the study. The consent form notified the interview subjects that their participation was voluntary, that no financial compensation would be

provided, and that their responses would be treated with confidentiality. Participants also were informed that their responses to the interview questions would be memorialized by the researcher to assure the accuracy of their responses and of the data collection process, but that no information that suggests their identity or association to their institution would be disclosed in the publication of this research. To affirm further confidentiality, all materials associated with the study was secured in the researcher's office, which was locked when unattended.

Human subject participation. This study was conducted to comply with the ethical standards on human subjects as required by Pepperdine University. The researcher received approval from Pepperdine University's Institutional Review Board on March 21, 2013.

Interview preparation. In advance of each interview, a letter was mailed to the president of the institution requesting an interview in search of personal observations and insights about his or her partnership with the governing board. Interviews were designed to be conducted with presidents based on their willingness to participate. Participants in the interviews were assured that only the information provided would be used as a contribution to the research and their identities, college or university and any identifiable information that could be reversed engineered by a reader would not be known to anyone beyond the researcher and would not be published. A code number was assigned to each of the respondents; notes or reference materials from the interviews would not be disclosed. Direct quotes would be used in cases where specific comments and quotes could advance the presentation of the research. Quotations that are used would be coded and not specifically attributed to any respondent by name. However, in any case, information either through quotes or material that is paraphrased that could be reasonably reverse engineered would be excluded from the published dissertation.

Data Analysis and Preparation

A study conducted through phenomenology requires a rigorous analysis of data founded on sound preparation, organization, and data analysis (Moustakas, 1994). In pursuit of these goals, the information gathered at the time of interviews with the university and college presidents was recorded in writing by the researcher and reviewed for additional study, comparison, and analysis. As with most phenomenological research, Starks and Trinidad (2007) state that a presumption exists that the statements and comments of the participating president and the researcher would be acknowledged as intended.

The researcher safeguarded all research and documents, at all times. Working documents and data remained in his possession. When not in use documents were stored in a secure location in the researcher's office to protect both the confidentiality of the participants and the integrity of the data.

Glaser and Strauss (as cited in Sloan & Krone, 2000) state that at the conclusion of the interviews the data must undergo a constant comparative analysis, which is expected to render a result in which it can be reported that "different categories emerged and became integrated through constant comparison and contrast" (p. 114). This process had the additional benefit of safeguarding the confidentiality of the interview participants and their institutions.

The data from the interviews were written by the researcher to obtain, as much as possible, a verbatim account of the observations, comments, and perceptions of the participants. The process of content analysis, which is also known as lumping and splitting, was used in reviewing the notes to determine themes and assertions, to identify patterns of information, and to categorize and describe data (Creswell, 1998, 2003). These additional steps, also called triangulation, enhanced interrater reliability of the data.

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The Researcher's Role

In the conduct of qualitative research, it is appropriate to acknowledge the researcher and his or her background (Creswell, 2003; Marshall & Rossman, 1999; Thomas, 2003). While the value and character of the data obtained in the process of qualitative research are dependent on the skill, knowledge, and interviewing abilities of the researcher, the background of the researcher may play a role. In the interests of objectivity, the researcher must also be mindful of who he or she is and the professional values and assumptions that may have an impact on the research process (Locke et al, 1993). Acknowledging these experiences assisted in the pursuit of impartiality and the minimization of bias.

This study's researcher has extensive administrative- and executive-level experience at the director and vice presidential level in higher education at both public and private institutions throughout the last 20 years, which provided a point of reference and common understanding with the presidents interviewed for the survey. The researcher's membership and participation in the AGB and its Board Professionals Leadership group allowed for a point of connection with the university board of trustees liaison, which helped to facilitate contact with the university president. These commonalities of experiences facilitated a relaxed, less formal data collection method in support of the qualitative research design.

Summary

The purpose of this qualitative research study was to determine how private college and university presidents foster partnerships with governing boards as mechanisms for facilitating greater efficacy in trustee governance. The research was conducted through interviews with presidents of private colleges and universities. The data were evaluated for recurring themes and patterns to determine relationships and commonalities with the information collected.

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Overview

This chapter aims to present this study's findings as they relate to the exploration of the role of a private university or college president in fostering a partnership with a governing board as a mechanism for facilitating greater efficacy in university governance. The research focused on two fundamental questions:

1. What role, if any, do presidents have in *educating* governing board members?

2. What are the primary concerns, if any, that presidents have related to their relationship with the governing board?

Data for this study were primarily collected through confidential interviews with current and former presidents of private colleges and universities. Participants responded with their professional assessments and personal perspectives on ways institutional leaders foster constructive and productive relationships with individual board members and with the governing boards overall.

Data Collection

After the researcher completed the Institutional Review Board process and obtained approval from the university to begin the study, a convenience sample was identified. The sample consisted of 10 current and former college and university presidents known or recommended to the researcher. They were chosen to ensure a positive participant response rate. The interview population was college and university presidents who are adults and not part of a protected group. The names of the colleges and universities, the presidents interviewed, and any identifiable convening organization are not referenced in the study nor disclosed in the publication of this research. Disclosing the identity of the colleges and

universities, the presidents or the names of other employees, trustees, or other demographic information was not necessary for successful completion of the study and would violate the interview protocol discussed with participants.

Because of the assurance of confidentiality, respondents were inclined to provide more candid and comprehensive responses, enhancing the results of the study. The summary of responses is done in a way that prevents the respondents, colleges, universities, or convening organizations with which the presidents are associated from being *reverse engineered* to reveal their identities. A code number was assigned to each of the respondents; notes or reference materials from the interviews will not be disclosed. The sole reference to the names of the respondents was on a coding sheet available only to the researcher and stored and destroyed in the manner referenced in Chapter Three and sections five and six of the Institutional Review Board application (see Appendix E).

The primary data for the study were gathered through interviews with each respondent. As referenced in Chapter Three, the interview questions were reviewed and validated by a panel of experts. In the interviews, the college and university presidents offered their professional assessments and personal perspectives on the ways institutional leaders foster constructive and productive relationships with individual board members and with the governing board overall. Follow-up questions were used by the researcher, when necessary, to amplify points or provide clarification. The researcher used an interview protocol (see Appendix B) approved by the panel of experts.

The researcher, in consultation with the peer reviewers, looked at college and university presidents who could be contacted as potential respondents for the study. The researcher made contact with each of the suggested candidates via telephone or e-mail (see

Appendix F). In some cases, contact was made through an intermediary, such as a colleague

of the researcher or a special assistant or scheduler of the potential candidate. During the

initial contact, the researcher explained the topic of the study and shared a copy of the

abstract, research questions, and interview questions. As a means of establishing rapport with

potential candidates, the researcher discussed his current role as a university vice president

with responsibility for board relations and his participation as a presenter and board

professional with the Association of Governing Boards of Universities and Colleges.

The researcher also explained to each potential candidate that his or her name, institution,

or any personally identifiable information would not be disclosed in the study. These assurances

made potential candidates more comfortable and more inclined to participate. Candidates were

informed that there were very minimal risks associated with participation in this study. The

researcher told candidates that one potential risk could be discomfort around some of the

interview questions, but that only the respondent and the researcher would be involved. The

discomfort would not be exposed beyond that interaction. The potential candidates were also

informed that there were no known or potential financial, economic, physical, or psychological

risks and no known or potential risks for adverse impact on a respondent's professional

reputation. Furthermore, it was explained that the respondents would receive no direct benefits

(financial or otherwise) for taking part in the study.

When a candidate agreed to participate as a respondent in the study, an appointment

was scheduled and a confirmation e-mail with the informed consent form was sent to the

candidate, with a copy to his or her designated staff point of contact (see Appendix G). Each

informed consent form was personalized with the president's name and prepared for his or

her signature. Due to the demanding schedules of the potential candidates, the researcher

accommodated his schedule to that of the respondents, including during in-person, telephone, and e-mail interviews. The researcher also conducted in-person interviews at the Association of Governing Boards National Conference for Trusteeship held in San Francisco, California, April 21-23, 2013.

To prepare for the interviews and gain a more comprehensive understanding of each respondent's experience, the researcher read the curriculum vitae of each president who agreed to participate in the study. Additionally, the researcher reviewed material related to the college or university led by each candidate so as to fully contextualize the environment within which the potential respondent manages. During the interviews, the researcher recorded each respondent's responses to the interview questions as well as other respondent comments. When necessary, additional probative questions were asked of the respondents to seek clarification or to amplify answers. If there were reflections and observations made by the respondents between the interview questions or at the end of the formal interviews that were relevant to the study, those were noted as well. At the conclusion of each interview, the researcher made annotations about the overall impressions and observations of respondent's answers and comments. The complete process for gathering data, including collection of the responses to the interview questions, took approximately two months.

Profile of the Participants

Through a series of 10 interviews, five current and five former presidents were asked a series of six questions to determine, among other things, who reports to their boards, the types and frequencies of communication with the boards, the directional flows of information, how they maintain the necessary separation between their duties and the boards' governance role, and the most important components of the president-board relationship (see Appendix A).

The college and university presidents included as respondents in the study met the following criteria:

1. Each president was selected by a board of trustees or governing board.

2. The board of trustees was composed of a minimum of 10 trustees.

3. The board of trustees had a separate chairperson who did not also serve as president of the university.

4. At the time of the interview, the president should be serving or have served (in the case of retired presidents) in the permanent role or have served in the interim role for a period longer than six months.

5. The president gave his or her consent to participate in the study.

The institutions led by these presidents met the following criteria:

1. Each institution is private.

2. Each institution is not-for-profit.

3. Each institution is a governed by a board of trustees.

The institutions also were required to meet three additional criteria:

1. Each institution grants degrees.

2. Each institution has received accreditation from a recognized agency.

3. Each institution's population totals a minimum enrollment of 100 students.

The respondents served as presidents of three western universities, four southeastern universities, two academic institutions in the East, and one in the Midwest. The smallest school had a 2012 enrollment of about 600 students; the largest had just over 25,000 students.

Some of the presidents who agreed to interviews had led more than one institution of higher education during their careers. One of the four retired administrators held the presidency

at four schools for a cumulative 30 years in academia; another had 29 years' experience guiding

two universities. The president with the shortest tenure had led one university for six years.

Together, the 10 administrators interviewed had an average of 14 years' experience at the helms

of 17 colleges and universities (see Table 3).

Table 3

Participant Characteristics

Name	Identifier	Years of Presidential Experience	Region of United States
President 1	P 1	13	Western
President 2	P 2	6	Southeastern
President 3	P 3	14	Southeastern
President 4	P 4	10	Western
President 5	P 5	7	Southeastern
President 6	P 6	12	Midwest
President 7	P 7	8	Eastern
President 8	P 8	30	Western
President 9	P 9	12	Southeastern
President 10	P 10	29	Eastern

Data Analysis

Chapter Three provides the research methodology and the process used for analyzing the

data obtained from the interviews of the college and university presidents who served as

respondents for the study. The researcher recorded notes based on the interview responses and

observations, which served as the data to be analyzed. The data from the interviews provided a

verbatim account of the observations, comments, and perceptions of the participants. The process

of content analysis, also known as lumping and splitting, was used in reviewing each response to

the interview questions in order to determine themes and assertions, to identify patterns of

information, and to categorize and describe data (Creswell, 1998, 2003). These additional steps,

also called triangulation, enhanced inter-rater reliability of the data.

The most noteworthy responses were those related and germane to the research questions and the purpose of this research study. Each response to the interview questions was analyzed using the same process. The initial coding of the data assisted the researcher in organizing and managing the information into substantial phrases, statements, and coding units (Creswell, 1998). The researcher reviewed the documentation of each interview and made notes related to common themes, key words, and concepts presented from all of the respondents. Glaser and Strauss (as cited in Sloan & Krone, 2000) state that at the conclusion of the interviews the data will undergo a constant comparative analysis, which is expected to render a result in which it can be reported that "different categories emerged and became integrated through constant comparison and contrast" (p. 114).

Because the interviews were conducted under a relaxed, less formal data collection method, similar to a conversation, the researcher had to carefully review the responses to the questions; there were circumstances where answers were clarified or amplified in a subsequent response. If other comments were made to the researcher outside of the interview but directly related to the questions, those notes were included. Also, two of the respondents provided the researcher with written responses to the interview questions.

Each interview and its notes were reviewed in their entirety before analyzing. After common themes, key words, and concepts were identified for the individual interviews, the same data were analyzed for the collective set of interviews. This process allowed the researcher to determine commonality of themes related to all respondents. These responses and results helped the researcher to determine how private college and university presidents foster partnerships with governing boards as a mechanism for facilitating greater efficacy in trustee governance.

Research Findings

The collective responses from the interviews were synthesized to better inform answers to the research study's questions. The ensuing paragraphs are organized in relationship to the primary research questions in order to draw a clearer picture of how the responses informed the study's questions. A summary of the themes that were discussed by the respondents as identified by the researcher is presented in Table 4.

Table 4

Main Themes from Interview Analyses

Theme	Evidence from Interviews
Communication	Informal verses Formal
	Internal verses External
	Frequency and Speed
	Dissemination of Information and Inclusion
	Climate of Communication, i.e. crisis
	Type of Communication
	Quality of Relationship, i.e. trust, respect, honesty, responsiveness

(*continued*)

Theme	Evidence from Interviews
Size of Board	Politics
	Stability
President's Personal Characteristics	Judgment
	Intuition
	Instinct
Definition of Roles	"Be careful what you ask for"
	Expectations and Managing Expectations
	Power
	University verses Personal Agendas
	Definition of the Board's and President's Goals
Value of Board Members	Favors, Appreciation, and Volunteers
	Collection of Different Perspectives
Board Education	Type
	Formal verses Informal
	"Weeds"
"No Surprises"	Look Good and Feel Good
	Pride Points

Research Question 1

In seeking an answer to the first research question, what role, if any, do presidents have in educating governing board members, it became clear that board education was a high priority. All interview respondents indicated that they play a role in educating governing board members. Solid board education was seen as a preemptive–and necessary–measure to protect against undue board interference. All institutions invested in some form of board education.

To ensure that board members, who come from wide-ranging backgrounds, are aware of the appropriate boundaries, as well as their responsibilities and the issues facing higher education, each university had formal structures for educating the board. Each had a welcome orientation or a workshop for new trustees. Some universities had orientations annually. One has a system where each fall, every committee chair reviewed with the board his or her priorities for the year; that provided the board with a formal process to consider the agendas of its committee and associated administrative unit and to ensure they were on track. The same university had a plenary session at every board meeting. The sessions focused on a single college or unit within the university and the deans or other high-level administrators instructed the governing board about the unit within the context of larger issues of national policy or economic or technological developments.

For the universities overall, informational materials presented to the board members might include the history of the university, its charter, and relevant information about institutional issues including laws and regulations. It was suggested that the chair of the board could also play a role in educating board members about the issues and about boundaries related to governance.

Not only were all the presidents involved in board education, but also all the interview respondents expressed strong feelings about the *need* for board education. One respondent commented, "about every two years we hold an off-site retreat and we bring in other university presidents/board chairs/AGB personnel and so forth. Also, I stay pretty current and prepare presentations and white papers for board consumption" (P 1, personal communication, March 31, 2013). Another said, "Management sends informative articles to all trustees. Selected members of the executive committee are invited to attend AGB and other professional development meetings" (P 5, personal communication, April 3, 2013). Still another said, "I find that a board committee, such as the Committee on Trusteeship, is usually quite willing to do the research and decide how best to educate fellow board members" (P 4, personal communication, April 16, 2013). Another respondent commented that his university "provides trustees with subscriptions to the *Chronicle of Higher Education* to keep them current on higher education issues" (P 3, personal communication, April 19, 2013).

On the mechanics and messaging of how training is delivered to the trustees, one respondent commented,

We use our annual meeting as a training session or retreat. We bring in outside experts from major organizations to be the 'bad guys,' the ones who are actually saying 'here is what the ideal role of a governing board is' to make policy and not manage the institution. (P 6, personal communication, April 23, 2013)

This respondent, who is in a second presidency, added:

I have always been very big on having an orientation of a board member or groups of board members prior to their coming on to the board… I want them to know ahead of time what the expectations are, so that way they can say, 'well, thanks, I really appreciate

your inviting me but I don't think I can do this' or they can embrace the responsibility

with the knowledge of the expectations of the board. (P 6, personal communication, April

23, 2013)

A respondent, who had been a long-term president of two universities, talked about the value of

internal and external board training activities:

We always supported them [trustees] through [external] AGB training courses. We also

gave them binders with the documents—copies of the charter of the university, materials

about the university, its history and development and why this university is different than

some other university. (P 10, personal communication, April 8, 2013)

Addressing the value of training for board members, a respondent said,

We also do outside professional development as we always send two or three board

members to AGB conferences. We often invite a speaker into a board meeting and maybe

have a plenary session where an external expert comes to talk about something of value.

And every other year we have a board retreat, which is intended to be team building but

also educational. (P 9, personal communication, April 22, 2013)

Another respondent noted,

Until I arrived as president, the board did not do any training activities. Now we do an

annual self-assessment exercise and have retreats with an outside senior facilitator who is

a governance expert. It has fundamentally changed how the board responds to issues.

(P 3, personal communication, April 19, 2013)

A respondent who has been a long tenured president made an interesting observation on the

importance of having trustees committed to training.

You can take specific board members and send them to Association of Governing Boards conferences. You can bring in people from AGB and other organizations to give seminars to new and, in fact, to all board members, but what you need is a board that's willing to give you some time. And the problem is that's hard to get because they have full lives. (P 10, personal communication, April 8, 2013)

Who reports to the board. When reviewing responses, a secondary concept regarding who has a role in educating board members emerged. Many presidents made frequent mention of senior administrators (many of whom were board professionals) and their constant (sometimes daily) interactions with board members. As such, it could be inferred that the senior administrators are an extension of the president and share part of the responsibility for educating governing boards. Interview question four asked: Is there anyone else who reports to the governing board other than you? The answers to this question provided great insight and consistency.

Six of the respondents reported that they were the only person who reported to their governing boards. A common theme of all of the respondents was that no matter what the official reporting relationships are, many of the senior administrators have close relationships with trustees, especially the chairs of the board committees. In any case, another common theme among the respondents is that senior administrators, who communicate regularly with members of the governing board, were expected to keep the presidents in the loop on all conversations and reports to trustees. All respondents agreed that having governing board members interact with senior administrators, regardless of reporting relationship, can be challenging. Their responses also revealed that this contact is made earlier in an environment where trust and communication is present.

With four exceptions, those participating in the interviews said the only person other than the president who should officially report to the board is the chief counsel (sometimes in the role of secretary of the board). The first exception was a university president who previously gave that reporting duty to the chief counsel but recently had shifted it to the president's chief of staff (P 7, personal communication, April 4, 2013). The three other exceptions were respondents who said only they, as presidents, were authorized to report to the board (although one noted that the CFO and some senior officers at the university had close board relationships, especially with chairs of committees working in their area).

As presented in Chapter Two of this study, the network of contact and level of communication, as well as defined reporting structures, are implicit indicators that senior administrators and the administrative infrastructure also have a role in educating, staffing, and supporting the work of the governing board. The governing board's responsibilities are typically organized by standing committees that are determined based on the size of the board and the structure and complexity of the university. Staffing for governing board committees often aligns with the university administrative structure and assignments are covered by senior members of the administration designated by the president. "The president and other senior officers have almost everything to do with determining how effectively the board functions" (Ingram, 1993, p. 317).

Educating the board should be balanced and holistic, and respondents warned that the information transmitted to board members should not always be about problems. Several presidents agreed that it was important to make the trustees feel good about the university and their service to it. The presidents also discussed the need to listen to what individual board members contribute.

Boards like good news. [Trustees] don't go on these boards to get yelled at and to worry about getting sued. They like good news. You want them to feel that everything is going well and that you're doing a heck of a job running the campus. (P 8, personal communication, April 5, 2013)

One respondent added, "I think that you have to be self-conscious about ensuring every trustee feels that he or she is a valued and included member of the community" (P 7, personal communication, April 4, 2013). Another respondent pointed out that,

You want to celebrate your board, you want to make the world know who your board is and give them some pride in the fact that they're on the board. And when you have the president of the United States or the governor on the campus, invite all the board members to attend. (P 3, personal communication, April 19, 2013)

In addition, a multitude of factors, including size of school, size of board, the length of the president's time in office, and whether the institution's leadership has been stable, all influence how the exchange between the president and board unfolds and the extent to which boards are educated. Within that diverse interaction, however, common approaches to communication, to strategies for board engagement, and to board education can be found.

  Special role of the board chair. There was consensus that a strong relationship with the board chair is key to successfully educating the board as a whole about matters of importance. Nearly every president cited a special relationship with the board chair, relying on the chair as the main conduit for receiving communication from the president and as a bridge for transmitting information from the board back to university's executive officer. (Two respondents also mentioned close relationships with the vice chairs of their boards).

My board chair and I, we talk at least weekly. I like to keep [the chair] apprised of any

kind of major events or incidents that might be occurring on campus, just so [the chair] is

always up to date and never surprised and never blindsided by anything. (P 6, personal

communication, April 23, 2013)

 "It's rare that a week goes by that the board chair and I are not in communication, often several

times a week" (P 7, personal communication, April 4, 2013).

Although communication with the board chair was viewed as the most expeditious way

to reach the full board, some presidents said the system was not failsafe. One respondent who

had served as a private college president and as an interim system head said that,

Ideally, the communication should be through the chair of the board. But, in most cases,

that's not practical. It's naïve to think those individual board members are not going to

call you and need to ask you a question, ask for something, or give some advice. So,

ideally it certainly should go through the board chair from a practical standpoint. [But]

unless you're a large system, that probably just would not happen. (P 8, personal

communication, April 5, 2013)

Another respondent commented on the challenges of communication.

With my first board chair, I shared information with her and I soon realized that she

wasn't sharing it with other people. Or, if she was sharing it, she wasn't sharing it the

way I wanted it shared, so I needed to communicate more broadly. (P 9, personal

communication, April 22, 2013).

The larger the school and the board, the more likely it is that *most* interaction takes place

between the president and the chair. The board chair's preferences and level of engagement also

shaped the frequency of communication. One president met every Wednesday with the chair of

the board and kept the same routine with the chair's successor. But when the torch was passed to a third chairperson, a busy CEO, the interaction was cut back to about once a month and there was no longer a standing meeting day (P 9, personal communication, April 22, 2013). The shift was designed to accommodate the new chair's high-powered work schedule. Another president, initially at the request of the board chair, had a regular phone meeting scheduled on Monday and Friday mornings. The first meeting of the week let the chair know what the president was focused on to begin the week. The second meeting provided insight as to the issues the president handled throughout the week. By the second year, the conversations were reduced to once per week. Now, with the president is in a fifth year, the conversations are twice per month unless circumstances warrant more (P 3, personal communication, April 19, 2013).

Another theme that emerged from the interviews was that experienced presidents, and those who have long tenures with their institutions and the trustees, are likely to have earned more trust from the governing board. As presented earlier in the study, trust is an essential component of the relationship between governing boards and presidents. The foundations of trust are derived from mutual respect and regard for the ways in which the governing board and the president communicate and understand each other's expectations and areas of responsibility (Johnson et al., 2010). It was apparent from the interviews that, over time, the presidents gained confidence before the board, and the trustees allowed the president more benefit of the doubt.

Communication as a pivotal value. All the respondents referred to communication as one of the most important components for achieving effective governance. Presidents frequently referenced the importance of establishing open lines of communication with the board chair. Communication with the board chair was seen as proxy for communicating with the full board. Although presidents exchanged information on a wide range of issues and in a variety of ways,

the dominant goal was to keep board members informed of relevant university activities and of current themes and issues in higher education.

> The range of things we discuss could be anything from a significant board governance matter that needs to be vetted and discussed prior to a formal meeting of one of the committees or the full board, all the way down to an opportunity that a member of the board thinks would be significant for the university and would like to know how to use his or her information. (P 7, personal communication, April 4, 2013)

Another said,

> At some level, you're in communication with your board all the time because things are happening all the time. And whether it's an article on the front page of *The New York Times* about higher education that you think the board ought to know about… or you call up to wish them a happy birthday or anniversary. But there's always something going on that gives you a reason to be in touch with them. (P 10, personal communication, April 8, 2013)

Another respondent concurred, adding,

> I'll send board members articles of interest that I think that they should be paying attention to. Sometimes I will have [the chair] send it to the board… Some board members take it upon themselves to send different articles around, whether it's about some other institution deciding that they were not going to increase tuition for the next five years, or some other [higher education] issue. (P 6, personal communication, April 23, 2013)

One respondent, the successor of a long-time president who did not communicate regularly with the board, underscored the need to share information.

[It's] whatever I think they need to know, progress on whatever. It could be pride points, something [good] that happened that they might need to know, or maybe the analysis of some problem that I found to be useful. If there's something, like when the sequestration happened, I was thinking a lot about what's the implication [for the college]. I wrote a document and shared that with the board [and] with our faculty and our staff. Everybody needs to understand what the implications are for our budget planning, et cetera.

(P 9, personal communication, April 22, 2013)

Types of communication. To keep in touch with their boards, the presidents use a multitude of communication tools; led by e-mail messages, phone calls, and in-person meetings. Some send materials to board members via snail mail and courier services; one made sure the student newspaper, although not always supportive of the university, is delivered to the trustees. Most also encourage their board members to come to campus events, offering yet another opportunity to discuss university issues. A few of the presidents also mentioned getting together with individual board members for coffee, scheduling dinner with small subgroups of board members and their spouses, and hosting trustees for special events and performances.

When asked *how* they communicate, the presidents distinguished between two types of interaction: formal and informal. Formal communication took place at specified intervals, including board meetings and retreats, and included communication mandated by policy, supporting the presidents' comments around the importance of regular communication with the board. Some presidents described this interaction as occurring on a scheduled basis and in specified formats, such as monthly written reports from the president.

One respondent, a long-time president, said,

> [I communicate] at least quarterly in a fulsome President's Report. In between, I often
> inform them [trustees] directly of controversial issues and important matters of debate. I
> speak with the chair of the board and standing committee chairs quite often.
> (P 1, personal communication, March 31, 2013).

Another respondent noted "under normal circumstances, we have a one-hour scheduled call twice a month and exchange text messages throughout the week. For the calls, an agenda guides conversation. Texts [messages] are situationally defined" (P 5, personal communication, April 3, 2013). A respondent in a second presidency said,

> I communicate with my board fairly regularly, at least two or three times a month by way
> of e-mails, providing them with information about what's going on at the university. I
> will share with them my communications that I sent to the university community as
> updates so that they are aware. (P 6, personal communication, April 23, 2013)

This president further commented,

> [Since] our board meetings are in June, October, January, and March, between those
> meetings, I am communicating with them [trustees] separately and apart from my
> President's Report. I think it's helpful for the board members to know what's going on.
> So, if they hear rumors, they will know those rumors are not true because they've heard
> directly from me. (P 6, personal communication, April 23, 2013)

Another respondent said the communication occurred "several times a week—and that's literal. I'm in communication with one or another board member several times a week, sometimes just conveying information from my side, sometimes hearing from them about something they're interested in" (P 7, personal communication, April 4, 2013).

With informal communication, the contact was more wide ranging. The respondents also indicated that informal contact was much more frequent than formal communication. In both formal and informal interactions, information flows were two-way, from the president to board members (sometimes using the board chair as a messenger) and from the board to the president (again, often with the board chair as the point of contact).

The presidents also talked about how to handle board members' requests for perks. One respondent said,

> You want to do favors for them [trustees] without doing favors for them. You don't want to hire [some family member] to some job while the [person] is incompetent to do the job; on the other hand, a couple of seats for a basketball game or a theater performance... that's okay. (P 10, personal communication, April 8, 2013)

Research Question 2

Two primary themes emerged from the second research question, what are the primary concerns, if any, that presidents have related to their relationship with the governing board? It became clear that presidents were concerned about (a) managing crises situations with the board and (b) establishing appropriate boundaries between the board and administration.

Managing crises. Interview question two asked, how do you decide what critical issues to escalate to the level of engaging the governing board members and when should that engagement occur? It was most illustrative along this line of inquiry. The common themes were that all respondents believe issues related to institutional risk, adverse financial impact, and negative publicity should be escalated to the board level as early as possible in order to effectively manage crises; typically through the chair of the board and relevant committee chairs. All of the respondents agreed that there should be a *no surprises* rule in sharing information with

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the governing board. While there were different approaches about the mechanics of how the escalation was done, it typically depended on the known preferences of the board and the length of time that the president had served at the institution.

Moments of crisis were cited as a time when the president-board interaction intensified. One respondent said the interaction with board members during normal times consisted of weekly meetings with the board chair, meetings with board committees about five times a year, and individual conversations with each trustee–in person, on the phone, or over a meal–several times a year (P 4, personal communication, April 16, 2013). During challenging times, however, that communication increased in frequency to several conversations a week with the board chair, weekly interaction with board officers, and in-person meetings with individual board members every few days.

One respondent, who began a presidency with challenges on day one, commented:

It turns out that in my case there was a [crisis] from the very beginning… we quickly found ourselves [with] an escalating need to have a lot of contact with board members. …There was a lot of contact to the point that I worried about it being too much.

(P 2, personal communication, April 10, 2013)

The presidents were asked for specifics of how they knew when they should step up communication with their boards. They referred to *common sense* and *intuition* as guides. A respondent who served as a president at multiple institutions for well over two decades remarked,

You can hardly get into trouble for [communicating] too much; whereas you can get in trouble for not telling enough; so the bias has got to be toward more information rather than less information. If it's something you would want to know about if you're on the

board, then as president you ought to be telling your board members. (P 10, personal

communication, April 8, 2013)

Another respondent commented, "any issue that crosses our threshold of risk and threatens the

integrity of the school is vetted with the board" (P 5, personal communication, April 3, 2013).

One respondent who moved up the administrative and academic ranks to become president said,

I think anything that holds potential to damage the institution significantly is something

that a president should share with members of the board… judgment on that is highly

circumstantial and very event-driven. After a period of years, you develop an instinct

about what is important and, often more importantly, the timing of when the board needs

to know. (P 7, personal communication, April 4, 2013)

Several presidents also pointed to areas that required notifying the board.

Some decisions are based on policy. In those cases, you don't have to worry about

escalating [communication]; if it's policy, it's policy. I made up my mind that I was

never going to get in trouble by violating board policy. (P 8, personal communication,

April 5, 2013)

Additionally, personnel issues were underscored as areas where the board should get involved,

especially the hiring of key personnel or the dismissal of high-profile individuals. One president

said certain important hires, even if board approval is not part of the process, are discussed with

the board. The same president used a hypothetical example of a private school with a prominent

basketball program that was hiring a new coach. "Probably policy would not make me get it

approved by the board, but common sense dictates that I better talk to the board before I hired a

person who's going to make $1 million a year" (P 8, personal communication, April 5, 2013).

Another respondent subscribed to the 'no surprises rule.'

So if I think something is going to bubble up in a way that it will be a surprise, I try to get

ahead of it by letting people know that something is about to happen. For example, I

made a personnel decision that I knew would come as a surprise to the board. And while

it was not their decision to make, I wanted people to have enough understanding of it.

(P 3, personal communication, April 19, 2013)

A respondent who has served as a college president for 12 years further commented,

I talked to the board chair and the vice chair about the fact that I was dealing with a

personnel matter and what I was planning to do about it. I just wanted enough people to

have an idea of the logic of my thinking before I took action so that when I took it, there

would be influential people on the board who could say I thought it through in an

appropriate way and made a good decision. (P 9, personal communication, April 22,

2013)

Establishing appropriate boundaries. The third interview question asked, how do you

maintain balance between the board's role in governance and your role as leader and manager of

the university? All the respondents held strong opinions about the dangers of the board venturing

into management and operational issues; a key concern that presidents had about their

relationship with the governing board. The common themes related to the need for open and

honest communication with the board about the role of the president, who is accountable for the

day-to-day operations of the institution. Each respondent also expressed the importance of

having a strong relationship with the board chair, who could reinforce messages to other trustees.

The respondents all commented on the importance of good board training, including using

resources from the Association of Governing Boards and other sources to make sure that trustees

understand the appropriate balance between governance and operations.

Presidents also acknowledged that current higher education issues, in some cases, also increased communication that created opportunities for the lines between governance and management to be blurred. For example, governing board members, especially those who are alumni of the institution, seem to want to get more personally involved with issues involving admissions, athletic programs, budget, as well as items related to the endowment and real estate transactions. The lines tend to blur when agenda items are closely related to the professional work of members of the governing board or are highly political and of interest in the alumni or broader community.

In dealing with the challenge of balancing governance and management, one respondent commented, "This is increasingly hard. I remind them [board members] that they do not want to manage [the university] and I talk them through the negative impact of doing so" (P 9, personal communication, April 22, 2013). Another respondent, who has a strong relationship with the governing board, remarked, "I simply tell the board when it is venturing into management or operational issues and do not allow them to do so" (P 4, personal communication, April 16, 2013). Another president commented, "I had to have more senior trustees remind my current chair that she was not the CEO of the institution. Once those conversations occurred, she allowed me to do my job with a minimum amount of interference" (P 3, personal communication, April 19, 2013).

On the issue of maintaining balance with the board, one respondent remarked, "constant verbal and written reminders of boundaries are provided. Perceived violations are discussed during regular calls. I use the AGB phrase 'noses in, hands out' often" (P 5, personal communication, April 3, 2013). Another said, "I really use the board chair and sometimes the

vice chair, as my vehicle when board members are slipping into managerial aspects that they should not be" (P 6, personal communication, April 23, 2013). Yet, another respondent said,

> I think you have to very candid about what the rules are and make it clear to the board that they don't have enough time to really be on top of all the facts, all the issues that are happening on campus. And that they really need to trust you. (P 10, personal communication, April 8, 2013)

A respondent who has instituted an effective board training program, noted, "I am willing to be assertive with either members of the board [directly] or through the chair when I think, in those very rare instances, that the line has been crossed" (P 7, personal communication, April 4, 2013). This president further commented that,

> We have the kind of system here where I can pick up a telephone and contact the board chair and determine whether [the chair] or I will be the one to send that message. Eight years as a president, I can only think of two instances where that's occurred. So it's a relatively rare event. The best way, I think, to guard against those kinds of conflicts is to periodically review with the board of trustees its role in governance. (P 7, personal communication, April 4, 2013)

One respondent who took over the presidency during a time of internal crisis, said *every* development around the principal challenges facing the university was taken to the board chair, leaving the president unable to maintain the wall between the board's role in governance and the president's role as manager. This respondent said the president-board relationship eventually evolved unhappily into a co-president dynamic (P 2, personal communication, April 10, 2013). This president further noted that board members sometimes approached senior staff directly, with one board member in particular attempting to become involved in day-to-day management

of the university. That president relied on his senior staff to keep boundaries from being breached (P 2, personal communication, April 10, 2013).

Most responses related how presidents strive to educate trustees on institutional and higher education issues as a means of augmenting the difference between governance and management. The consistent themes from the respondents related to the need to create regular opportunities for the governing board to learn the appropriate role of a trustee and to learn about key contextual issues and current events affecting in higher education. All of the respondents recommend using retreats, workshops, and sessions with outside experts who could support the university administration in providing training resources for trustees. One of the common themes was to have governing board leadership, through a committee of trustees including support from the president, to guide and develop a training program.

Additional points of analysis. According to the interviews, the presidents and boards communicated about a wide range of issues, most notably board governance, policy, and curriculum issues. The channels for that interaction differed from university to university, influenced by a number of factors. The respondents consistently saw it as their responsibility to determine what the board needed to know and how the information should be relayed. Other presidents, however, said they were mindful of the busy work lives and multiple obligations of board members, adding that they tried not to overwhelm them with too much contact.

A university's size was cited as a factor that could influence the depth and frequency of communication between a board and a university president, with the demands of larger universities making the interaction less frequent. However, one president cautioned that even if a president was not in touch with board members about every decision "it's naïve to think those individual board members are not going to call you and need to ask you a question, ask for

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something, or give some advice" (P 10, personal communication, April 8, 2013). Board size was also cited as a factor. "Frankly, these boards in universities are too big. Nobody governs with a 40-member board. There's too much room for development of cliques and special interests. What you want is a group of people who pull together for the institution" (P 3, personal communication, April 19, 2013).

Additional factors in the types and frequency of communication were the length of time members had served on the board and the length of time a president had been in office. New board members may require more communication from a president. And board interaction appeared more frequent with a new president, diminishing as trust was built with the board. The range of personalities and interests on boards also affected how communication and governance unfolded.

Chapter Five: Summary, Recommendations For Future Research, And Conclusions

The purpose of this study was to review, discuss, and examine the private college and university president's role in fostering a partnership with governing boards as a mechanism for facilitating greater efficacy in trustee governance. The final chapter of the study presents findings, compares the research findings to the review of the literature, and discusses recommendations for future research.

This study employed interviews as its primary source of data. The researcher recorded the first-person recollections and reflections of the respondents in their roles as college and university presidents, asking the chief executives about their interactions with boards as a whole and with individual trustees, both formally and informally. The researcher sought to answer how, if at all, presidents should–and do–engage in board education. The researcher also sought to identify what presidents' see as the primary issues in facilitating an effective relationship with governing boards.

The relationship between the governing board and the president encompasses many aspects of university governance and operations. The interaction between the governing board and president and the effectiveness of their joint efforts affect the quality of the university experience for all constituencies (including students, faculty, staff, alumni, and donors), how long- and short-term financial decisions are made, and the ways in which the university leadership plans for the future. Systematic attention to the relationship between the governing board and the university president is necessary if higher education institutions are to leverage and benefit from this crucial partnership in an era of greater scrutiny and expanded accountability.

Summary of the Study

Fruitful collaboration by the governing board and president is a key contributor to

successful governance. Indeed, the ultimate strength and effectiveness of an academic institution increasingly depends on how well these two powers work together. As reinforced by the interviews and a review of the literature, the relationship between the governing board and the president should be based on the shared purpose of supporting the mission of the university and upholding its pillars of governance, namely trust, respect, and communication (Buck & Highsmith, 2001). However, the journey to a successful president-board relationship is far from simple. This study collected the president's perspective as to how that relationship unfolds, best practices for cultivating it, and potential dangers. It did so by focusing on two key questions:

1) What role, if any, do presidents have in *educating* governing board members?

2) What are the primary concerns, if any, that presidents have related to their relationship with the governing board?

The study's scrutiny was part of a larger interest in understanding effective governance. To fully interpret the interaction between the board and the trustees, it was first important to understand the individual responsibilities of each.

The president's role is complex. On one hand, he or she is hired and held accountable by the governing board, effectively making the president an agent of the board. But the president alone is charged with day-to-day management of the academic institution. That means university presidents, in addition to possessing management skills, must also exhibit exemplary leadership and accommodate a diverse range of stakeholders while achieving their institutions' goals and aspirations. In addition, the president also has the ultimate responsibility for bridging the knowledge gap: the institution-specific gulf between what the trustees know and what they need to know to perform their responsibilities effectively. Directly and indirectly, as confirmed by the interviews with the respondents, presidents typically find themselves in the potentially

challenging situation of educating and training trustees on issues of academic governance and nonprofit management. As the respondents revealed through personal anecdotes and examples, equipping and enabling the governing board is critical if a president is to be effective in his or her job.

Trustees, meanwhile, oversee the advancement of their institutions. They hold substantial authority over the top administrators–notably presidents and chancellors–whom they hire. The boards carry legal and fiduciary responsibilities for their universities' governance. College and university trustees are selected for a range of reasons although, increasingly, they are more professional than in past generations. Many are nonacademic individuals who manage multilayered organizations. They often are alumni and/or donors to the universities. But few have professional roots in academia. So while they are insiders in terms of assuming oversight and governance duties, they are outsiders to the sector. Trustees' knowledge of academic institutions and higher education is uneven across the board.

In recent years, higher education has undergone dramatic shifts. Student enrollment, faculty demographics, funding formulas, academic delivery platforms, and legal considerations have become more diverse. Many universities are no longer focused solely on academic pursuits; today they also operate hospitals, manage investment and real estate portfolios, and play pivotal roles in the community. Not surprisingly, the president-board relationship at many academic institutions has evolved to accommodate these changes. Visionary institutions in the midst of bold and dramatic changes need institutional flexibility to accommodate those shifts and to respond quickly when the changes do not meet expectations. Their ability to recalibrate is contingent upon the effectiveness of the president-governing board partnership.

Summary of the Findings

The governing board-president interconnection is pivotal for a university. It serves as a foundation for its successes–financially and academically, now and in the future. It can also be a contributor to its setbacks. It institutionalizes the culture within which leadership and collaboration are expected to flourish. In essence, the effectiveness (or ineffectiveness) of the president-board interaction has a deep and sometimes longstanding impact on a wide range of stakeholders, including students, faculty, staff, alumni, and donors.

In their accounts, the university and college presidents revealed the broad landscape upon which the joint–and separate–governance and operations activities unfold. The partnership between a university's governing board and its president takes many forms, and this relationship is shaped by institutional mandates, personal preferences, leadership effectiveness, a university's size and stability, a board's size and makeup, and the degree to which the board members–and, most notably, the chairperson–understand the duties and boundaries of their role.

In the interviews, the respondents acknowledged that the partnership between the president and trustees should be collaborative, transparent, and one of mutual respect to advance the goals, objectives, and aspirations of the university (Ricard & Brown, 2008). The president must respect not only the contributions the trustees make but, as the major stakeholder, he or she must manage and foster relationships among all the key stakeholders–including the partnership between the president and governing board members, the links between and among the trustees, and the important relationship between the president and the board chair.

Communication. Communication overwhelmingly emerged as a recurring and central theme in answers to the survey's six questions. It was cited as the single most important tool for cultivating a rich and productive relationship between the two powers. The underscoring of

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communication reflected a consensus that was blind to geographic area or size of school. Specifically, respondents suggested that (a) strong methods of communication must be a pivotal value when working with governing boards and (b) the type of communication used with a governing board is important.

The respondents–eight men and two women–revealed that there is no single template for the partnership between a university's top official and its board. A multitude of factors, including size of institution, size of board, the length of the president's time as chief executive officer, the tenure of the board, and whether institution's management has been stable all influence how the exchange between the president and board unfolds. Within that diverse interaction, however, there were common approaches to communication, to strategies for board engagement, and to approaches to board education. Indeed, presidents often used their lines of communication as supplementary delivery platforms in support of board education.

Formal and informal communication. The study found that for effective partnership to be achieved, the governing board must provide a platform for the president to communicate in an honest, open, and uninhibited manner about the university's successes, challenges, aspirations, and failures and those same aspects of the president's leadership. In the area of communication, the answers were consistent with the research findings of Nason (1982), namely that board chairs and presidents have regular, sometimes weekly, conversations to discuss issues and ideas and to share information. The presidents in this study also described regular conversations with board chairs on a range of issues.

Collectively, the governing board and the president also must have regular and open opportunities to communicate. Formally, these usually unfold in scheduled closed-door sessions at trustees meetings. Informally, they fall along a much broader spectrum of phone calls, e-mail

messages, casual meetings, coffee and dinner gatherings, and encounters at university events. For the overall partnership of the president and governing board to work well and for the trustees to feel that the university is running smoothly, communication is vital to institutional effectiveness (Nason, 1982; Theisen & Jackson, 2002).

Also the presidents' answers to interview questions were consistent with the AGB Report (1984) *Presidents Make a Difference* produced under the leadership of Clark Kerr. The report advised presidents on the following strategies for maintaining an effective relationship with the governing board:

- Spend time with individual board members;

- Never surprise the board;

- Persuade board members to keep their eyes, ears and minds open—and their hands off. (pp. 94-95)

The president and the board chair. Nearly every president cited a special relationship with the board chair, relying on the chair as the main conduit for receiving communication from the president and passing it on to the full board when warranted. The chair also serves as a bridge for transmitting information from the board back to university's executive officer. In addition to the important role of the chair, two respondents also cited close relationships with the vice chairs of their boards. Almost exclusively, presidents mentioned their relationship with the board chairs as the linchpin for educating the governing boards. Without a solid relationship with the board chair, it was implicit that there would be barriers to effectively educating governing boards. These findings undergird the research of Ingram (1993) and Nason (1982), who found that the interaction and relationship between the chair of the board and the chief executive of the

institution lay the foundation for how the successful governing board leads and the president

manages the university.

The presidents interviewed in this study agreed that their responsibility and

accountability for running the university and managing its academic and fiscal affairs are greatly

enhanced when supported by all members of the governing board. However, they viewed the

relationship with the board chair as pivotal. In large part this was because it is the role of the

chair to facilitate the interpersonal interactions within the board's ranks that allow for greater

trust and free-flowing communication; this, in turn, adds to the effectiveness of the board's

relationship with its president (Chait et al., 1993).

The way information flows move between the presidents, board chair, and full board are

tailored to the university's particular needs at any given time. However, the interviews indicated

that most president-board exchanges follow three models.

Figure 2. Communication flow chart # 1. Information flows from president to board chair and

from board chair to the entire governing board.

In Figure 2, the president communicates with the board chair, who then passes relevant

information along to the full board. The president-chair interaction is two-way. The chair-board

interaction is two-way. However, under this model, there is less direct one-on-one interaction

between the president and each individual trustee. This model is most likely found at large

universities where the day-to-day demands on the president require more intense time

management. This model is also more likely at colleges and universities with large boards and/or

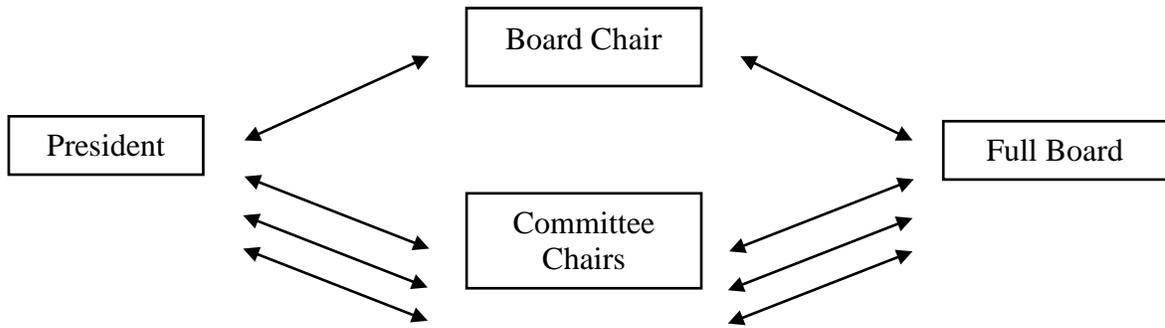at universities with strong and effective board chairs.

Figure 3. Communication flow chart # 2. Information flows from president to board chair and simultaneously to committee chairs and then to the entire governing board.

Smaller colleges and universities and/or those with smaller boards were more likely to use a communication model resembling Figure 3. This approach was also more prevalent at universities where trustees want/need a lot of direct interaction with the president, the board or a significant number of its members is new, and the board chair is new or is not effective. This is also the most common model for universities where the bond of trust between a president and the board has not been established. In this approach, the president interacts one-on-one with all board members on a regular basis, although more so with the board chair and the chairs of the board committees.
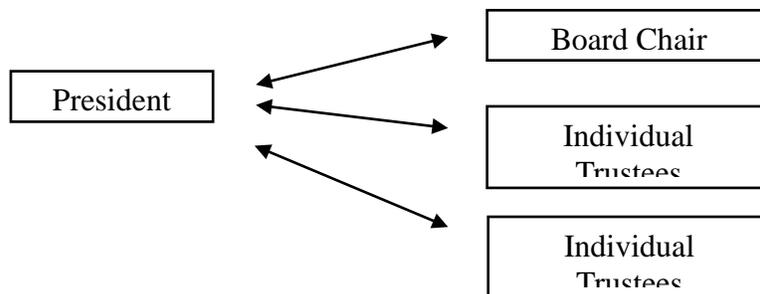

Figure 4. Communication flow chart # 3. Information flows from president to board chair and simultaneously to individual trustees.

The third model, shown in Figure 4, is a hybrid. The president's most intense interaction is with the board chair, but there is also significant one-on-one interaction with individual trustees. In these environments, either because of history or current norms, the president needs to communicate simultaneously with the board chair and individual trustees to make sure messages are not filtered and translated. This model, while very time intensive for the president, exists when there are highly political situations that call for constant communication.

Intensified communication. The communication flows between a president and the trustees are not static. They intensify during times of crisis, according to the presidents in the study. They also step up when presidents foresee that university actions or developments could expose the academic institution to significant legal or financial risk or could attract negative publicity. Several respondents explained that they have an understanding with their governing boards regarding when and how to escalate information. The literature also reflects findings on *public agreement*, the understanding between the trustees and the president regarding how university business is conducted, how decisions are made, and how they will generally communicate and interact with each other. In many cases, it is an implied agreement based on historical and organizational norms or common understandings that are reached during the hiring of the president (Kegan & Lahey, 2001; Robbins, 2003). Although communication is likely to intensify at times of challenge, the presidents emphasized that president-board communication and interaction should not always be negative or focused on problems. The interview respondents consistently noted that the board must also be engaged in positive moments and that the trustees' pride and feeling of accomplishment in their board work should be nurtured and celebrated.

Board education. A university president is in the unusual position of being responsible for closing the board's knowledge gap. The respondents in this study not only reported significant involvement in board education, but they placed high value on that duty, enumerating both formal, institutionalized opportunities (such as monthly presidential reports and board retreats) and informal avenues for educating board members. The goal is to ensure that the trustees know what they need to know in order to execute their duties responsibly. In general, the presidents indicated board education efforts have been stepped up at universities for a number of reasons, including because universities' overall missions have expanded, transparency and accountability have broadened, and the spectrum of stakeholders or constituencies has grown.

Solid board education was also seen as a preemptive protection against undue board interference. The presidents indicated that it was easier to deflect board interference through education or early intervention than it was to correct the breach after the fact. To ensure trustees– who come from wide-ranging backgrounds–are aware of proper boundaries, as well as their responsibilities and the issues facing higher education, all the universities had formal structures for educating the board. Everyone had a welcome orientation or a workshop for new members.

Board education serves multiple purposes, all of which further the depth and effectiveness of that critical president-board relationship. According to the interviews with the 10 presidents, the board education process:

- Allows trustees to learn what is generally expected of them, thus ensuring that they will not take on duties with which they cannot comply.

- Instructs trustees about the specific duties connected with their role on the board and in board committees.

- Makes trustees knowledgeable about the academic institution and its history, structure,

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mission, and aspirations.

- Helps the trustees understand the most pressing issues and themes affecting higher education and university governance.

- Gives trustees clear guidelines about boundaries in their relationship with the university president.

The respondents' focus and involvement with board education were consistent with the research done by Nason (1982) on the three phases of orientation for trustees. The first phase is when a nominee is asked to join the governing board by the chair of the board and the university president. At that time, the trustee learns about the time and personal commitment involved and is told about the current programmatic and financial status of the university. The second phase occurs after the trustee joins the board, meets other trustees, and spends time on campus, and receives copies of governing documents and administrative reports. During the third component in board education, which consists of board retreats and workshops that allow for a greater depth of focus and attention on governance matters, specific university initiatives, or higher education issues of national prominence, the 10 presidents interviewed for this study, all commented that they use external resources or experts to provide that kind of high level of training and to focus on best practices (Queeney, 1996).

Respondents in the study also noted that one of the biggest barriers to board education was the time commitment. Trustees increasingly tend to be high-level professionals with great demands on their time. Therefore, even as they cited ongoing need for board education, the presidents expressed a need to be mindful of managing this in a way that is not burdensome for the board members. The presidents also have to consider their own time constraints, an assessment that seemed to support the findings of the American Council on Education survey of

more than 2,000 presidents. In that study, one third of respondents believed that presidential responsibilities have become more complex and demanding and that the area of governing board relations at the time of the survey increasingly required more time and effort (ACE, 2007).

While the interviews with the presidents demonstrated that the universities' chief executives take ultimate responsibility for educating the trustees about their duties and boundaries, a much broader roster of players, both inside and outside each university, is involved in the actual hands-on education process. Board education is conducted by:

- The university president.

- The president's executive staff. Although most of the presidents interviewed indicated that they were the only persons authorized to report directly to the board, the presidents enlisted support from senior staff in passing crucial knowledge onto the trustees.

- The board chair. The study respondents emphasized the important role of the board chairperson (and, in some cases, also the vice chair) in both passing on educational information from the president's office and in taking it upon himself or herself to identify and bridge trustees' knowledge gaps. This aligns with Nason (1982), who found that the chair of the board holds the responsibility for making sure trustees are well informed about the institution's "history, mission and goals, programs, finances, physical assets, sources of students, qualitative status in the educational hierarchy, distinctive characteristics, major problems, future prospects" (p. 44), and any general matters that might affect university governance.

- Internal experts at the university. In addition to members of the president's executive staff, others university insiders play a role in board education. They include faculty leaders (typically academic senate members) and alumni association members.

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Depending on the academic offerings and type of institution, distinguished faculty members with specializations in governance, law, medicine, and certain business areas can also be used as content experts to provide training to the governing board.

- External experts. These include board-training facilitators (including workshop leaders), governance authorities, AGB officials, speakers with expertise in board governance, and speakers with expertise in front-edge themes in higher education. As at least one president pointed out that the use of outside experts to transmit knowledge on board governance duties allows the president to sidestep a *bad guy* or enforcer role with the board.

- Non-university organizations. The most notable of these is the AGB. This education is generally extended in the context of conferences at which training or informational opportunities are scheduled.

- Board members. Trustee self-assessments were also mentioned as a strategy for greater board education by allowing trustees to anonymously disclose what each felt were deficiencies or gaps in their knowledge base. By using information from a self-assessment, there are opportunities for self-directed and peer education (Knowles, et al., 1998; Kolb, 1984). Many of the respondents discussed working with specific trustees, who have professional certifications and experience in areas related to the needs of the governing board, to lead sessions during retreats or orientations or encouraging those trustees to coach and educate others.

Boundaries in president-governing board partnership. Greater levels of communication also tended to open the way to greater likelihood that the board might overstep its authority. The answers of the respondents were also consistent with research that notes that whenever a board is

too involved in the day-to-day aspects of management versus focusing on its role in governance, the president's effectiveness, authority, and power are undermined. This finding also addresses the delicate balance of the duality of the president's role, which requires him or her to walk a difficult tightrope–following the direction of the board at the same time leading the board (Rhodes, 2001).

The presidents who were interviewed indicated that this is another instance where they needed to depend on the chair of the board to provide balance and to keep the trustees from trying to take on operational issues. Linking to the research, Ingram (1993) supports the view of the presidents interviewed, describing the chair as the person who determines opportunities to maintain and strengthen board governance, who understands all aspects of the university's operations, who serves as the single public voice of the board, and who provides balance, structure, and coaching for other trustees.

Appropriate boundaries were viewed as a critical concern by *all* presidents in the study. The interview respondents indicated that incidents of trustees overstepping boundaries, thus comprising the effectiveness of the president-board relationship, were less likely when the following were in place:

- The existence of open and honest communication between the president and trustees.
- A strong relationship between the president and the board chair, with the chair being willing and able to reinforce boundaries and the trustees' understanding of them
- A process for formal training and education of the trustees as to their governance role.
- An understanding by the board members of the negative consequences for the university of inappropriate interference in the president's duties (venturing into operational issues).
- Periodic reviews or constant verbal and written reminders of appropriate boundaries.

- Discussion at regularly scheduled communication opportunities (such as phone calls) of perceived violations, thus defusing their escalation.

- The cultivation of a strong culture of trust between the president and the board.

Board interference was seen as most likely when a university is undergoing a financial or leadership crisis. However, there are many other conditions under which trustees may transgress, according to the presidents interviewed. For example, violations may be triggered by the presence of a new president, a new board chair, or new trustees or following the installation of trustees who have not been educated about their governance duties and the boundaries of their authority. During times of challenges, presidents may also turn to the board for advice—a move that implicitly hands the board managerial authority. More appropriately, the presidents said, a university's chief officer should inform the board about decisions or steps the president has decided to take. Soliciting the board's advice seems to be interpreted by the trustees as a green light for assuming management duties.

Additionally, the interview respondents noted that boundaries may be crossed during discussions of contemporary higher education issues for which board members have particular interest. These areas may include admissions, budgets, athletic programs, real estate, and endowment. Alumni who are trustees, in particular, seem prone to blur lines when agenda items are closely related to their professional work.

Usefulness of board education. The presidents interviewed expressly noted that the trainings fundamentally change how boards respond to issues. They indicate that it also helps to better clarify and provide a buffer between the roles of president and that of trustee. And board education results in broader interaction between the two powers, with presidents receiving increased information from trustees on higher education issues.

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Issues Outside of the Study's Scope

Several topics surfaced during the interactions with the respondents that fell outside the scope of the study. One in particular provided valuable insight: Presidents lack, but need, safe outlets for discussing issues linked to their governing boards and the challenges of duality of the president's role; referring to the fact that a president must be an expert on matters of academic and educational management while also occupying the role of employee to the governing board. Perhaps because the respondents previously knew the researcher or because the researcher had connections to people they knew, the presidents established an easy rapport during the interviews. This created a rich experience for the researcher and elicited frank responses to questions, but it also provided the presidents with a protected venue in which to discuss their often-delicate relationships with trustees. Indeed, the presidents themselves extended the conversation beyond the scope of the study. However, the revelations seem relevant inasmuch as they relate to how the presidents could improve their effectiveness in interacting with trustees.

These leaders have few confidential environments in which to discuss concerns, ideas, and matters that impact and define their presidencies. The Association of Governing Boards and the American Council on Education offer some workshops on the subject (for newly appointed presidents), but it was clear that the presidents need a more discreet venue for airing concerns and seeking counsel on institutional governance matters, board recruitment and training, and communication with trustees. The presidents expressed a desire to have a sounding board, someone who understands the presidential role. Some of the study respondents developed relationships of this type through mutual friends or by meeting colleagues at professional conferences.

The presidents did not define this as a place to air problems (i.e., negative issues) but, rather, as a communication outlet with a peer where ideas and knowledge could be shared, with an eye on developing a keenness and greater effectiveness as a college president. In their role as experts, the presidents are expected to have all the answers; yet they have no peer with whom to hash out details of specific issues. A colleague from another institution, however, typically understands the topics or items another president is dealing with and can provide support, encouragement, and/or relevant suggestions. The dearth not only underscores a space for additional research, but it also suggests that there could be a need for a formalized system with a professional coach or confidante within a president's circle. The formation of a support network for presidents could prove important for their personal and professional well-being.

Recommendations for Future Research

In additional research designed to draw a more robust picture of causality, coupling it with quantitative data strengthens the body of research. For example, it might be beneficial to know or discuss:

- The president's level of experience when it comes to academic governance and nonprofit management. Colleges and universities are hiring presidents who have less experience with both. Can a president educate a governing board if he or she does not have the personal/professional experience to do so? How does this factor into the relationship required for effective governance?

- What is the primary method of communication between the board and the president? Electronic or face-to-face? Does this assist with or hinder the education of board members? Does the medium have any effect on the strength of the relationship with board members?

- What are the most used–and most effective–strategies for educating the board at the institutions represented in the study? Orientation? Retreats? Written/hard copy documents?

- Can effectiveness of the organizational culture be categorized? For example, are institutions with highly symbolic cultures more effective at governance than those with highly political cultures? Carnegie Classifications? Historically Black Colleges and Universities (HBCUs)? Religious institutions?

Understanding how the paradigms examined in this study compare with those at public colleges and universities may also strengthen this body of research. Governing boards are agents of the public trust and the expectation of that role is often viewed with more emotion/vehemence at public institutions. Do trustees at public institutions feel a greater drive and obligation to be more effective and informed because of this greater sense of (perceived) responsibility to the public?

The study was limited by several factors. It only focused on a convenience sample of private college and university presidents. Although the sample of respondents had some geographic and demographic diversity, it was not systematically designed with that in mind. And the respondent pool was small, with just 10 presidents or past presidents taking part. Therefore, these research findings may not be generalized to a larger or more demographically diverse population. The interview population also excluded governing board members, which resulted in research findings that are only applicable to presidential perspectives, insights, and recollections.

Incorporating the perspective of board chairs is clearly important in establishing congruency of answers. Presidents may feel one way, but if their assessments are not triangulated with board chairs' responses then they are less reliable. Also, the trustees' perspectives may lend

additional depth or unbiased information to the president's assessments. The rule of 'perception is reality' applies.

Implications for Practice and Theory

A number of things arise from this research effort that practitioners can use to facilitate greater efficacy in university governance.

1. When doing board assessments, questions to measure the quality of the relationship between the board and the president may be a necessary and standard component to understanding the effectiveness of a board's operations. For example, board members' failure to give at expected levels, their underperformance at meetings (or poor attendance), or their tendency to inappropriately overreach into day-to-day matters, may reflect a lack of confidence in the president. Board assessments are a good vehicle for figuring out if there is such cause-and-effect.

2. The platforms for *educating* board members may need reformation. Orientation and retreats may no longer be the appropriate tools for providing board members with the knowledge they need for effective governance.

Many of the governance theories cited were developed prior to the evolution of the highly politicized environment that marks the academic sector. High-profile and much-publicized scandals, such as the sexual abuse/cover-up drama at Penn State and the abrupt resignation (and reinstatement) of University of Virginia President Teresa Sullivan following *philosophical differences* with the university's governing board, has increased scrutiny of governance at universities. Those issues were not in the scope of this study, but others doing future research should consider including them. Longstanding theories and approaches to governance may need to be revisited if this new landscape is to be fully understood.

Conclusions

This study on the significance and substance of the presidential role in fostering the partnership between the governing board and the president, and their collective effectiveness, was a timely and relevant exercise and adds to the productive discourse surrounding university governance. The literature and the responses to the interviews are clear and consistent in forwarding that the president is the leader of the university and the focal point of decision-making, but the governing board sets the vision and has the ultimate authority for the governance of the institution (Bolman & Deal, 2003). For the partnership between the governing board and the president to be effective, the human dynamics of power, politics, and position must be handled appropriately.

While the presidents acknowledge the importance of a rich and high-functioning relationship with the board, the development of such a partnership requires an investment of time and thought. The presidents must juggle many complex challenges to ensure that they have open communication with their trustees within an environment of trust and respect. They must be mindful–as transmitters of knowledge to the board–that the trustees are aware of their duties, know the boundaries they must not transgress, and are up to date on the most challenging issues facing higher education. They must find respectful, functional, and diplomatic strategies for averting trustee incursions into presidential duties, and when those incursions occur, they know how to deftly move all the stakeholders back into their appropriate spheres of influence. And the presidents must do this while managing the increasingly complex day-to-day operations of academic institutions and meeting trustee expectations. Altogether, this represents a significant responsibility.

At the same time, the board and president cannot function autonomously without collaboration. Every success, challenge, or failure that presidents have can be traced back to their relationships and partnerships with the governing boards of the colleges and universities they lead. The relationship between the president and trustees should be collaborative, transparent, and one of mutual respect in order to advance the goals, objectives, and aspirations of the university. Indeed, an informed and knowledgeable governing board is essential to a successful president and a thriving and vibrant university. Institutions need trustees who are strategic, active, results-oriented, and well informed, but who are not micromanagers. Presidents must be strong, energetic and transformative, on the one hand, but patient, consultative, and diplomatic, on the other. Presidents want and need trustees to be proud ambassadors of the institutions they serve and to be partners in creating a shared vision and building consensus to move their colleges and universities forward. By having an effective partnership, governing boards and presidents create, sustain, and nourish innovative colleges and universities. Those institutions provide environments that recruit high quality faculty and students, encourage and support research and quality instruction in the classroom, and allows for engaged alumni and external constituencies to be involved in meaningful ways as partners in collaboration and success. In essence, that is what higher education is all about.

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APPENDIX A

Survey Instrument

Interview Questions for Presidents

1. How often do you communicate with governing board members and in what context?
   (For example: relationship with the board chair and using trustees as a sounding board for decisions)

2. How do you decide what critical issues to escalate to the level of engaging the governing board members and when should that engagement occur? (For example: are there areas of disagreement)

3. How do you maintain balance between the board's role in governance and your role as leader and manager of the university? (For example: preventing the board from venturing into management and operational issues)

4. Is there anyone else who reports to the governing board other than you?

5. How do you "educate" trustees on institutional and higher education issues, generally? (For example: ensuring access to information, laws and regulations related to higher education, institutional culture and history)

6. What steps do you take on a routine basis to foster a successful and effective partnership with the governing board?

APPENDIX B

Interview Protocol

1. Thank you to the president for participating in the study.

2. Reiterate the purpose of the study - This qualitative study is reviewing and examining the private college and university president's role in fostering a partnership with governing boards as a mechanism for facilitating greater efficacy in university governance.

3. Discuss the overarching research questions: what role, if any, do presidents have in "educating" governing board members and the primary concerns, if any, that presidents express in examining their relationships with governing boards.

4. Review the data collecting method– Because this is a qualitative study, the method of data collection is interviews.

5. Review the population being studied - Interviews will be conducted with a small group of private college and university presidents known to this researcher.

6. Reinforce the confidentiality of the interviews and the data. Your name, college or university and any identifiable information that could be "reversed engineered" by a reader will not be known to anyone beyond myself and will not be published. Disclosing your identity or that of your college or university is not necessary for successfully completing the study.

7. Make sure the interviewee understands that the interview will be memorialized by notes taken by the researcher and obtain permission to proceed.

8. Review the consent form and have the interviewee sign it.

9. Review with the interviewee that they are the expert and that I am here to ask them about their perspectives and first-hand experience on the partnership between the governing board and the president.

10. Make sure the interviewee is ready to begin the interview/conversation.

11. Begin the interview – six questions with follow up questions as appropriate.

12. At the end of the interview/conversation, ask the interviewee if there any further comments they have or any questions of me regarding the study.

13. Thank the interviewee for their time and participation in the study. Provide an update on the progress of the other interviews and the time-line in general.

14. After the interview, send the interviewee a copy of the informed consent form and a formal thank you letter.

APPENDIX C

Peer Reviewers

Dr. Lilya Wagner, a long-time faculty member of the Fund Raising School, is on the philanthropic studies faculties of the Center on Philanthropy at Indiana University and St. Mary's University in Minnesota. From 2005-2008, Dr. Wagner was vice president for Philanthropy at Counterpart International in Washington, D.C., an international development organization that provides a variety of services and projects in many countries. Prior to joining Counterpart, she completed 14 years of association with the Center on Philanthropy at Indiana University serving as associate director for public service and director of the Women's Philanthropy Institute. Her published writings include *Careers in Fundraising,* winner of the Skystone Ryan Research Prize presented by the Association of Fundraising Professionals (AFP). She is co-editor of *New Directions in Philanthropic Fundraising* and writes for an on-line newsletter published by Changing Our World, www.onphilanthropy.com.

She holds a doctorate in education from the University of Florida in Gainesville and has two masters' degrees in journalism and music. She has taught at the university, college and high school levels, and has been employed as a public relations specialist. She is a musician by training and avocation.

Dr. Cathlene Williams is a published writer/researcher and educator with more than 30 years' experience in the nonprofit world. In 2009 she established the consulting firm Cathlene Williams LLC, specializing in curriculum development, project management and business writing/editing. Her clients have included the Association of Fundraising Professionals (AFP), the Center on Philanthropy at Indiana University, Blackbaud, Inc., and Jossey Bass Publishers. She was formerly vice president for education and research for AFP, where she previously

served as director of library and research services, director of external affairs, and communications manager.

Prior to working for AFP she was a project director and director of information services for the National Association of State Boards of Education (NASBE). Dr. Williams has served on the editorial board for the international journal *Nonprofit and Voluntary Sector Marketing,* and was co-editor of *New Directions in Philanthropic Fundraising.*

She holds a master's degree from the University of Northern Iowa, and a Ph.D. in public policy from George Washington University.

APPENDIX D

Panel of Experts

Carolyn H. Denham, Ph.D., founded and directed the National Center for Schools and Communities at Fordham University in New York City. Dr. Denham served 11 years as president of Pacific Oaks College and Children's School in Pasadena, California. Previously, she was associate vice president for academic programs at California State Polytechnic University, Pomona. She began her career as professor of statistics at California State University, Long Beach, where she served as associate dean and acting dean and, on sabbatical, taught statistics to graduate students in a fishing village in Alaska. Currently, as a consultant, Dr. Denham focuses on achieving sustainable and scalable improvements in education, with particular attention to the inner city. She served as a judge in the selection of states for funding in President Obama's Race to the Top education initiative. As a gubernatorial appointee to the California Commission on Teacher Credentialing, Dr. Denham oversaw California's Beginning Teacher Evaluation Study, which monitored the amount of time students spent learning. She is co-editor of a National Institute of Education book on policy implications of the study.

She holds a B.A. from the University of Texas at Austin, where she was in Plan II, the honors degree program. She holds an M.S. and a Ph.D. from Boston College in education research and statistics. Dr. Denham is a trustee of Claremont Graduate University and a member of the Caltech Humanities and Social Sciences Chair's Council, the Harvard Graduate School of Education Dean's Leadership Council, the Huntington Library Overseers' Education Committee, the Getty Conservation Institute Council and the International Women's Forum.

Michael J. Worth is professor of Nonprofit Management in the School of Public Policy and Public Administration at the George Washington University in Washington, DC. He teaches

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related to the governance and management of nonprofit organizations, fund raising and philanthropy, and nonprofit enterprise. Dr. Worth has more than 30 years of experience in higher education and philanthropic resource development. He served as vice president for Development and Alumni Affairs at The George Washington University for 18 years and previously as director of development at the University of Maryland College Park for seven years. At GW, he planned and directed two major campaigns and also held responsibility for trustee relations and board development.

He has been a frequent speaker at conferences of the Council for Advancement and Support of Education (CASE), the Association of Fundraising Professionals (AFP), and the Association of Governing Boards of Universities and Colleges (AGB). He consults with educational institutions and nonprofit organizations in the areas of fundraising management, board development, and strategic planning.

In addition to numerous articles and reviews, he has written or edited five books on fundraising leadership and advisory board governance. He holds a B.A. in economics from Wilkes College, an M.A. in economics from the American University, and a Ph.D. in higher education from the University of Maryland.

Stephen Joel Trachtenberg is president emeritus and university professor of Public Service of the George Washington University. He served as the 15th president of GW for nearly two decades, from 1988 to 2007. He came to GW from the University of Hartford (CT), where he had been president for 11 years. Before assuming the presidency of Hartford, Trachtenberg served for eight years at Boston University as vice president for academic services and academic dean of the College of Liberal Arts. He has written five books. His articles have appeared in publications such as *The Educational Record, Phi Delta Kappan, The Association of Governing*

Boards of Universities and Colleges AGB Reports, Resources in Education, Journal for Higher Education Management, The College Board Review, the College Marketing Alert, The Chronicle of Higher Education, The Washington Post, and *The New York Times*. Trachtenberg also has served as a consulting editor to *The Journal of Education* and *The Presidency*.

He earned a Bachelor of Arts degree from Columbia University in 1959, a Juris Doctor from Yale University in 1962, and a Master of Public Administration degree from Harvard University in 1966. He is a member of Phi Beta Kappa.

APPENDIX E

Institutional Review Board Approval Letter

PEPPERDINE UNIVERSITY

Graduate & Professional Schools Institutional Review Board

March 21, 2013

Aristide J. Collins, Jr.

Protocol #: E0113D05
Project Title: The Partnership Between Private University Presidents and Governing Boards in Effective Governance

Dear Aristide,

Thank you for submitting the revisions requested by Pepperdine University's Graduate and Professional Schools IRB (GPS IRB) for your study, *The Partnership Between Private University Presidents and Governing Boards in Effective Governance.* The IRB has reviewed your revisions and found them acceptable. You may proceed with your study. The IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations 45 CFR 46 - http://www.nihtraining.com/ohsrsite/guidelines/45cfr46.html that govern the protections of human subjects. Specifically, section 45 CFR 46.101(b)(2) states:

> (b) Unless otherwise required by Department or Agency heads, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy:

> **Category (2) of 45 CFR 46.101**, research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: a) Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit a **Request for Modification Form** to the GPS IRB. Because your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the GPS IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite our best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the GPS IRB as soon as possible. We will ask for a complete explanation of the event and your response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the GPS IRB and the appropriate form to be used to report this information can be found in the *Pepperdine University Protection of*

Human Participants in Research: Policies and Procedures Manual (see link to "policy material" at http://www.pepperdine.edu/irb/graduate/).

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Please refer to the protocol number denoted above in all further communication or correspondence related to this approval. Should you have additional questions, please contact me. On behalf of the GPS IRB, I wish you success in this scholarly pursuit.

Sincerely,

Doug Leigh, Ph.D.
Chair, Graduate and Professional Schools IRB
Pepperdine University
Graduate School of Education & Psychology
6100 Center Dr. 5th Floor
Los Angeles, CA 90045
Doug.Leigh@pepperdine.edu
W: 310-568-5600
F: 310-568-5755

cc: Dr. Lee Kats, Vice Provost for Research and Strategic Initiatives
        Ms. Alexandra Roosa, Director Research and Sponsored Programs
        Dr. Kent Rhodes, Graduate School of Education and Psychology

APPENDIX F

Letter to the Presidents

Dear

I write to respectfully request your voluntary participation in a study I am conducting on

the partnership between private university presidents and governing boards in effective

governance. The purpose of the study is to examine how presidents operating in today's

challenging environment provide leadership in ways that foster effective governance – a need

addressed most recently in the 2011 Survey of Higher Education Governance of the Association

of Governing Boards (AGB).

As AGB President Richard D. Legon noted in a summary of results prepared for the

media, "Higher education faces greater and different challenges today than it has in the past." By

requesting answers from a small group of private college and university presidents known to this

researcher, this modest effort attempts to quantify some of the ways in which presidents are

helping lead their governing boards in meeting those challenges.

Additionally, as a vice president and secretary of the university at the George Washington

University, and a longtime executive in institutions of higher education, I have been honored to

observe the crucial relationship between presidents and governing boards while working in close

proximity, and sharing the privilege of meeting long-range goals and short-term objectives.

I will contact your office to schedule a meeting which will not exceed 60 minutes. Your personal

participation is critical to the successful completion of this research.

All interview responses will remain confidential. Your name, college or university and

any identifiable information that could be "reversed engineered" by a reader will not be known

to anyone beyond myself and will not be published. Disclosing your identity or that of your college or university is not necessary for successfully completing the study.

If you desire a copy of those results, please let me know, either during our meeting or by phone or e-mail. If you have a question or if I can assist in any way in clarifying details of this study, please contact me at xxx.444.xxxx.

I am grateful in advance for your time, assistance, and insights.

Sincerely,

Aristide J. Collins Jr.

APPENDIX G

Informed Consent Form

Thank you for voluntarily agreeing to participate in this study that will take place in the Spring and Summer of 2013. This form outlines the purposes of the study and provides a description of your involvement and rights as a participant.

I, _____, voluntary consent to participate in a research project conducted by Aristide J. Collins, Jr., a doctoral candidate at Pepperdine University Graduate School of Education in California.

I understand the study is entitled "The Partnership Between Private University Presidents and Governing Boards in Effective Governance." The purpose of this study is to identify the techniques and methods by which presidents and governing boards enhance effective governance at private, not-for-profit institutions of higher education.

I understand that my participation will consist of responses to interview questions will not exceed 60 minutes. I understand that my participation is voluntary and can be discontinued at any time until the completion of the dissertation.

I understand that my anonymity will be maintained and the information I provide will be held confidential. I understand that only the researcher will have access to a secure file in which will be kept the consent form and all field notes from the interview(s) in which I participated.

I understand that there are very minimal risks associated in participating in this study. A potential risk could be discomfort regarding some of the interview questions. If there was any discomfort, it would only exist between me, as the respondent, and the researcher, and would not be exposed beyond that interaction.

I understand that there are no known or potential financial, economic, physical or

psychological risks. There are also no known or potential risks for adverse impact on my professional reputation. There are no direct benefits (financial or otherwise) to me for participating in the study. Further, the information gained from this study could lead to a general understanding of the resources required in order to provide the learning opportunities for new and seasoned trustees so that they can contribute to a more effective governing board.

I understand that in the event I have questions or require additional information I may contact the researcher, Aristide J. Collins, Jr. at aristide.collins@pepperdine.edu or xxx-994-xxxx.

I also understand that if I have any concerns or questions before or during my participation in this study that have not been addressed by the researcher, I may contact the primary advisor and dissertation chair, Dr. Kent Rhodes at kent.rhodes@pepperdine.edu or xxx-600-xxxx.

I further understand that if I have other questions or concerns about this research or about my rights as a research participant, I may contact Dr. Doug Leigh, Chairperson of the Graduate and Professional Schools IRB, Pepperdine University, Graduate School of Education and Psychology at doug.leigh@pepperdine.edu or (310) 568-5600.

Participant's signature:_____ Date:_____

Researcher's signature:_____ Date:_____