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LEADERSHIP

This issue of the *Forum* examines "leadership," a term used in universities almost as frequently as "excellence" and "innovation." Such discussion is timely since a workshop entitled "Rethinking Leadership for Today's University" will be offered by the Centre for Higher Education and Research Development (CHERD) at the University of Manitoba on February 20-23. The major contents of a brochure advertising this course are reprinted in this issue.

The CHERD brochure prompted an investigation by the *Forum* of some of the literature on leadership (Editorial, p. 2). Several faculty members from the Departments of Management Sciences and Psychology were then asked for comments on our findings and for their general assessment of leadership research. The result is the article, "Why Look At Leadership Development?" by John Michela of Psychology (p. 5).

Finally, a review of the book *Management Fads: Where They Come From, What They Do, Why They Fail* is reprinted from the Fall 2001 issue of *Planning for Higher Education* (p. 7).

COUNCIL OF REPRESENTATIVES MEETING
Wednesday, March 20
5 p.m., DC 1568
(light dinner)

ANNUAL GENERAL MEETING
Friday, April 5
11:00 a.m.
PHY 145
(refreshments)

REVIVING CANADA'S HEALTH CARE SYSTEM

David Williams of Optometry reviews the book *Code Blue* by Dr. David Gratzer (p. 11). Gratzer was awarded the 1999 Donner Prize for this work.

UW GRIEVOR WINS CASE IN EXTERNAL ARBITRATION

Members of the FAUW Academic Freedom and Tenure Committee report on a second grievance case involving external arbitration (p. 13). Article 9 (Grievance and Arbitration) of the Memorandum of Agreement, they write, provides a "process for settling disputes that is rigorous, professional and independent." As such, it "is a significant advance over earlier policies that provided for internal tribunals only."

FAUW AND ADMINISTRATION REACH AGREEMENT ON THREE NEW M OF A ARTICLES

These three important articles deal with Program Redundancy, Financial Exigency and Layoffs. As Catherine Schryer reports in her President's Message (p. 16), the FAUW will be seeking your ratification of these new policies in the near future. The full text of the articles can be found on the FAUW website.

Inside this issue:

WATCH FOR. . .

- INFORMATION MEETINGS AND RATIFICATION VOTE ON ARTICLES 15, 16 AND 17
- FAUW ELECTIONS

EDITORIAL: WHY LOOK AT LEADERSHIP?

The idea to focus on leadership and management in this issue of the *Forum* is due to a brochure that was passed to me by a Department Chair (with many thanks). The brochure describes an upcoming workshop designed for senior university administrators entitled, "Rethinking Leadership for Today's University." The workshop is presented by the University of Manitoba's Centre for Higher Education Research and Development (CHERD). The main contents of the CHERD brochure are reprinted on Pages 3 and 4.

This brochure prompted me to undertake a small investigation of CHERD, leadership courses and the research literature on leadership. During the investigation, which I summarize below, I realized that it would be necessary to seek the opinions of local experts. After a search of departmental webpages and letters sent to a few people in Management Sciences and Psychology, I was fortunate to receive some very informative feedback from John Michela and Pat Rowe of Psychology and Tom Carey of Management Sciences. (I also thank Gary Waller of Psychology for some very helpful advice along the way.) Indeed, Tom, John and Pat answered many of my concerns. A good number of e-mail messages and papers were exchanged, mostly between John and myself. I am pleased to write that the result of this exchange is the article that begins on Page 5. In this article, John presents his answer to "Why look at leadership" in the university context. I sincerely thank all of the faculty members who have contributed to this undertaking. It is hoped that leadership will be a topic of discussion in future issues of the *Forum*.

Since the Michela article was written as a kind of response to my investigation, I should provide a brief history of my own findings. When I first received the CHERD brochure, I viewed it with much skepticism, as I do with anything that tries to sell a product. And yes, I was quite critical of the jargon and catch phrases, e.g. "managerial competencies," "360^{o} feedback," as well as an almost religious use of the "&" sign. I learned that these CHERD programs are highly recommended by university Presidents and Vice-Presidents. Amit Chakma, UW's Vice-President, Academic and Provost, has told me that UW tries to send three to four people each year to such courses. Other senior administrators have told me that they hold these courses in very high regard and wish that more people could be sent to them.

I then decided to consult the academic literature to see what leadership research was all about. After a little web-browsing, it became clear to me that leadership is a major research activity throughout the world. (There are even "Professors of Leadership.") I decided to start with the two articles cited in the brochure and then to work my way at least through a few issues of each of the two journals in which they are found, namely, *Journal of Management Inquiry* and *Leadership and Organizational Development Journal*, which I shall refer to as JMI and LODJ, respectively. (These two journals are available from the UW Library in electronic format.) I found Brown's JMI article, "Leading Leadership Development in Universities, A Personal Story," quite readable. She writes that today's universities face many new challenges and makes the points summarized in the Program Premise of the CHERD brochure. For her,

> leadership is a personal commitment to make a difference in the lives of other leaders and their constituents. Leadership involves inspiration, motivation, aspiration, relationship building, and creative change. Leadership development requires a process of intense introspection and of "finding your own voice" by determining who and what you are.

She presents models of individual and organizational development as well as a "leadership competency" model, all of which are designed to help people to "learn and talk about leadership, frame strategic issues in a leadership context, and develop a common language about leadership." This leads to a discussion of the four-day leadership retreats that have been developed at the University of Saskatchewan (four retreats have been held over the past five years).

On the other hand, the Brown and Posner paper in *LODJ*, "Exploring the Relationship Between Learning and Leadership," is a much more dryly written academic paper, deeply immersed in professional language. It discusses "transformational learning theory," a subject of much interest over the past two decades that "builds upon previous lines of inquiry into adult learning such as androgogy and self-directed learning." I'm sure that it contains a wealth of information for researchers in learning and leadership. On many occasions, though, I wondered whether complicated sentences could not be replaced with simpler ones. Instead of presenting examples here, I invite the reader to consult the article. However, professional language and terminology saturate the literature of all disciplines. I decided that it was perhaps unfair for an outsider to make rash judgements on the basis of a few papers appearing in a couple of journals.

I then discovered the following article:

> "The quantum skills model in management: a new paradigm to enhance effective leadership," by C.K. Shelton and J.R. Darling, *LODJ* Vol. 22, No. 6, pp. 264-273 (2001).

I have always been, as I believe a scientist should be, open to the possibility that well-established scientific theories and principles could be used in disciplines such as the social sciences, thereby bridging some of the large gaps between us. It was with this hope that I began to read the paper, since quantum mechanics has been a career-long research area of mine. However, I became disappointed after reading only a few lines of text. I first suspected that the paper might be some kind of joke, such as the famous hoax orchestrated by physicist Alan Sokal in his spoof article, "Transgressing the boundaries: Towards a transformative herme-

(Continued on page 3)

Rethinking LEADERSHIP for Today's University

(Continued on page 4)

(Continued from page 2)

neutics of quantum gravity," that was published in *Social Text* in 1996. Unfortunately, the "quantum skills" paper was not written in this vein. It appears that the authors have little, if any, training in physics, let alone quantum mechanics. They have taken some catchy ideas and phrases from popular treatises on quantum theory (as a look at the references will show), sprinkled in some bits of (incorrect) classical mechanics for contrast and seasoned it with some croutons of chaotic dynamics. Waving a philosophical wand, they then synthesize a theory of "quantum being" and claim, with no proof or examples, that it will allow us to transcend traditional management skills. Here is an example of why their "quantum thinking" is needed:

> If managers are to think 'out of the box,' it is apparent that logical, rational, binary thought processes are inadequate. Logical thinking has made little headway in solving the enormous challenges facing business organizations today. . . . For example, how can managers balance the responsibility to stockholders with responsibility to employees, customers, and the environment? How can short-term operating goals be achieved while maintaining a long-term focus? Or, how can errors be decreased while improving speed?

Of course, the journals of every discipline are haunted with bad papers and you may well argue that it is unfair to pick on a single paper of a particular discipline – in this case, leadership. However, is it not fair to examine whether some disciplines naturally attract, and perhaps inadvertently foster, such "pseudoscientific" studies more easily than others? I believe that this is the question that motivated Alan Sokal. The fallout in academic circles that resulted from his action has been extremely interesting and hopefully beneficial. Indeed, I pose to the reader that this would be an excellent topic for discussion in future issues of the *Forum* and invite experts of various disciplines, sciences and social sciences alike, to contribute their opinions. Who knows – perhaps such an exercise could actually contribute in some small way to the "Consilience" (unity of knowledge) advocated by Harvard biologist Edward O. Wilson (Vintage Books, 1998).

For those of you who may wish to see some spin-offs of the "quantum skills" paper, I invite you to consult the website http://www.wisework.com of "WiseWork," a "virtual consulting organization that specializes in innovative organizational development products and services." Dr. Shelton is a founding member of WiseWork. Its corporate clients include AT&T, Digital Equipment Corporation and the U.S. Army.

In closing, let me return to the issue of leadership courses – such as the CHERD workshop described above – and invite those people who have taken such courses to send their comments and assessments to the *Forum* for publication in the next issue. *ERV*

(CHERD *continued from page 3)*

Program Components:

Understanding Leadership
Leadership & management
Your leadership strengths & areas for development (360° feedback)

Leading for Change
Challenging the process
Understanding & leading change
Being proactive through innovation

Inspiring Shared Vision
Creating personal & professional goals & values
Motivating others through shared vision, values & goals

Enabling Others to Act
Creating & strengthening relationships & teams
Valuing and respecting differences

Encouraging the Heart: Bringing out the Best in Oneself & Others
Recognizing individual contributions
Celebrating team accomplishments

Modeling Expected Behaviours
Focusing on values-centered leadership
Creating small wins

Making a Difference & Taking it Back
Action Planning & next steps in your leadership development

THIS WORKSHOP WILL USE A VARIETY OF TEACHING & LEARNING STRATEGIES:

- ☑ highly interactive small and large group participation and discussion,
- ☑ individual self-assessments and reflection,
- ☑ up-to-date resource materials, including a workbook and a reference list,
- ☑ short presentation, including a video, and
- ☑ confidential feedback on your leadership practices from others with whom you work & on your personal style (Meyers Briggs Type Inventory).

Program Results

As a result of *Rethinking Leadership for Today's University*, each participant will be able to:

Gain insight into the nature of leadership & your personal experience of leadership.

Explore how leadership & management differ & why both are necessary.

Learn, understand and apply what research tells us are the five key leadership practices for today's leader!

Increase your understanding of yourself, your leadership strengths and what will make you more effective through feedback (from yourself & others with whom you work).

Learn about & apply concepts, frameworks & tools that will help you understand, lead & be comfortable with change.

Develop action plans to address specific issues & challenges affecting you, your position & your university.

Program Leaders:

Linda McCann is dedicated to helping leaders recognize and build on their strengths and unique capabilities and appreciate the potential in others. Much of her work has been aimed at contributing to healthy and meaningful workplaces -- often by consulting to those who lead. Linda is currently Co-Director of Organization & Employee Development at the University of Saskatchewan. In this position, she has provided leadership in getting one of the first full-service organization and employee development units off the ground in a Canadian University setting. Her personal commitment to leadership was recognized formally when she was the recipient of the YWCA Women of the Year award for Leadership in the Workplace.

Lillas Brown is the Director of Business and Leadership Programs at the University of Saskatchewan. Lillas has a wealth of experience as a workshop facilitator with leading-edge knowledge on the subject of leadership. Since 1993, Lillas has worked with the Office of the Vice-President (Academic) to provide a Leadership Development Program for Department Heads at the University of Saskatchewan. Her *Journal of Management Inquiry* article "Leading Leadership Development in Universities" and *Leadership and Organizational Development Journal* article, "Exploring the Relationship between Learning and Leadership" are currently in press.

WHY LOOK AT LEADERSHIP DEVELOPMENT?

by John Michela
Department of Psychology

The concept of "leadership" is ubiquitous nowadays. It seems that any personal or professional development can be framed as "leadership development." Indeed, the popularity of this topic can breed the kind of excess that our newsletter editor, Ed Vrscay, perceived in some of the literature to which he referred in his editorial comments. Nevertheless, there are good reasons why leadership has garnered increasing attention – reasons that apply as much to the university context as to the businesses for which compelling, contemporary theories of leadership have been developed.

First, there is relentless change. For businesses, the facts of globalization and vastly increased competition are central. In a stable business environment, excellent leadership is very nice to have, but survival may be possible with mediocre leadership as long as basic organizational systems are in place (systems such as production operations, personnel functions, etc.). However, in most industries today, leaders must grasp what is happening in the industry, predict what will happen, and continuously spur innovation and realignment of organizational systems. That is a tall order. Naturally many businesses look in part to leadership development for help with these challenges.

For universities as compared to businesses, the forces of change have, perhaps, been more varied. Decreasing total funding, increasing strings-attached funding, calls for relevance, and an enrollment bulge are examples. The forces for change in universities also may tend to be more gradual in their ascension. Although gradualism can "buy time" and ease necessary realignments, it can also produce the "boiled frog" syndrome. As the story goes, a frog dropped in boiling water will hop out. A frog dropped in tolerably lukewarm water will stay there, even as the water is then gradually heated to boiling until *les grenouilles* can be served up nice and tasty. In other words, action can be <u>less</u> likely when trouble brews gradually. In addition, if a leader sees threat where followers don't (because of gradual onset), it is especially difficult to enlist support for realignment.

Do these (and other) special problems for universities mean that it is pointless to look for ways to accomplish leadership development in the university? The opposite argument can be made – that university leaders have a great deal to gain. Several contemporary perspectives on leadership effectiveness hold that senior leaders can learn and apply knowledge and skills in areas such as environmental scanning to identify proactive responses to challenges; building a cohesive and effective senior team; and obtaining buy-in for change from other organization members. Although I have not reviewed the specific curriculum and approaches used in the CHERD program described in the brochure reproduced with the present series of articles, it is apparent that this program draws on state-of-the art leadership approaches to these matters. Various aspects of these approaches have been found to be beneficial – not only according to CEO testimonials, but also in academically-respectable research.

I realize there are special risks to proactive leadership in the university context. The current case-in-point involves the new Harvard University president's initiative to encourage faculty members to refocus on traditional teaching and scholarship, as opposed to their heretofore extent of community and societal involvement in contemporary problems. Several prominent faculty members are reported to be on the brink of leaving Harvard over disrespect they found to be signaled in this initiative. Of course there is a lot more to this case (and perhaps some inaccuracy in my overly-abbreviated account of it) but it illustrates one risk very well. Professors don't want to be told what to do. But aren't leaders supposed to provide direction?

This dilemma again may be seen to argue <u>for</u> leadership development for senior administrators in universities. Their leadership orientation and development experiences needn't be identical to those for business leaders, even if many principles from business leadership have counterparts here. Indeed, the CHERD program brochure suggests that it is possible to adapt business leadership approaches for university contexts.

It may also be worth mentioning that some recent research (Collins, 2001) points to particular effectiveness in <u>business</u> of some key aspects of senior leadership that seem especially appropriate to universities. Collins screened many hundreds of companies to find matched pairs of companies (matched approximately for size, industry, etc.) in which one member of the pair progressed from "good to great" in performance over a decade or so, but the other didn't. A key discriminator was leadership. But Collins was surprised to find that high-profile, cowboy or cowgirl leadership, did not characterize the later-great firms. Instead, these companies' leaders worked with and through others in their organizations, in "relentless" pursuit of high performance goals.

What about the "followers" in universities, professors and staff members? Besides generally improved organizational functioning, what do followers have to gain from leadership development obtained by senior administrators, chairs, or managing staff?

These questions are connected with a second set of reasons why leadership has garnered increasing attention throughout our society. These reasons involve changes over time in personal values among members of organizations and society. Increasingly, people expect fulfillment and personal validation at work. Although the job of the professor provides extraordinary opportunities for personal fulfillment, the culture of the university creates special problems for obtaining personal validation. The independence and other aspects of the professional ethos of the professor can lead to isolation and alienation. And, as one of the designers of the CHERD program states in a journal article (L. Brown, 2001), the university culture is hypercritical as compared with other workplaces. Professors regularly say, in anonymous reviews of journal submissions, things like "what you're doing is invalid." Some of these professors become department chairs (and higher-level administrators) and then are in a position to give feedback in connection with performance reviews and other consequential matters. It should be no surprise that this feedback sometimes is harsh and hurtful. Leadership development for chairs could ameliorate this. Leadership development also can address the question of what chairs and deans can do to manage conflicts that arise within departments or faculties.

The work of department chairs requires not only generic knowledge and skill in areas such as giving performance feedback or managing conflicts; it also requires specific knowledge about policies, structures, and services at the university – knowledge that non-chairs in the professoriate often lack. Where should one turn for expertise on ethics? Mediation? Due process? Happily, these are answerable questions at UW. Getting these answers to chairs <u>before</u> breaches of due process is one possible benefit of new attention to leadership development in the university.

And as these latter comments suggest, leadership can be conceived not only as individual activity but also as a process that the university as a whole can foster (e.g., through recognizing or otherwise rewarding effective leadership), support (as through making sure that ethics or mediation services are truly available and effective), and disseminate (by extending appropriate kinds or amounts of leadership education and development throughout the university, so that everyone will have greater awareness of his or her effects on group and organizational climate and functioning).

In this article I have tried to provide a newsletter-style answer to the question in Ed's editorial: Why look at leadership? In closing I would like to respond to a further question that arose in the editorial.

Would it be worthwhile in future issues of the *Forum* to discuss whether "some disciplines naturally attract, and perhaps inadvertently foster, ... 'pseudoscientific' studies"? I can arrive at the answer "yes" if I consider this question solely in relation to scholarly ideals and practice, for example, to seek truth and to embrace criticism in the pursuit of truth. But I arrive at the answer "no" when I use the lens of leadership and organization development. Our organization, the university, comprises groups (faculties and departments) with divergent perspectives and orientations. These groups sometimes see themselves in competition with one another for scarce resources (sometimes including prestige as a kind of resource). And it only takes a few individuals lacking "self-leadership" (in this case, awareness of their effects on other individuals and on the community at large) to generate ill will in such a context. Depending on the newsletter items submitted, it may take one heck of a leadership performance to keep such a discussion completely civil. In this case, the best leadership may lie in celebrating each field or discipline's distinct contribution to society, and in entrusting to each field the task of self-criticism and self-direction.

References

Brown, Lillas M. 2001. Leading leadership development in universities. *Journal of Management Inquiry*, 10 (4), 312-323.

Collins, James. C. 2001. *Good to great: Why some companies make the leap . . . and others don't*. New York: Harper Business.

Shelby Metcalf, basketball coach at Texas A&M, recounting what he told a player who received four F's and one D: "Son, looks to me like you're spending too much time on one subject."

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MANAGEMENT FADS IN HIGHER EDUCATION:
WHERE THEY COME FROM, WHAT THEY DO, WHY THEY FAIL – REVIEW

Reviewed by Boyd D. Collier

The author, Robert Birnbaum, is professor of higher education at the University of Maryland, College Park, where he teaches and writes about higher education academic leadership and organization. Previously, he was vice chancellor of The City University of New York, vice chancellor of the New Jersey Department of Higher Education, and chancellor of the University of Wisconsin-Oshkosh. He is past president of the Association for the Study of Higher Education. Birnbaum has authored other books on similar subjects, including *How Academic Leadership Works: Understanding Success and Failure in the College Presidency* and *How Colleges Work: The Cybernetics of Academic Organization and Leadership*. Both his academic and administrative experiences qualify him to examine the subject of management fads as adopted by colleges and universities.

Birnbaum asserts that

> [T]his book is primarily about the second academic management revolution that followed and its effects on higher education during the four decades between 1960 and 2000. Its focus was on ends rather than means, and its goal was to produce at the lowest cost goods desired by customers – that is, to make higher education more like a business. (xii)

My own reading of this book's intent is that of a mild debunking of the excesses that occur when irrational exuberance for a new technique of planning dominates sound, experienced management, hence, his term "seeking the grail" (p. 3). Two points should be made very clear. First, contrary to his primary intent statement, Birnbaum makes repeated comments throughout the book that there has not been a "managerial revolution" (p. 60). It has been attempted, but failed. Second, for the most part, the planning techniques discussed in this book have been imposed upon higher education by state governments, coordinating boards, and/or boards of regents. The author clearly recognizes that universities implemented the management fads primarily because they were made to do so. Discussion about how various forms of regulatory planning techniques made their successful implementation unlikely was not evident. When businesses decided that planning innovations were not performing as expected, they were free to discontinue them. Most universities cannot make a similar decision. These noted deficiencies notwithstanding, this book is worth reading, especially for those in higher education who work with planning and evaluation. The clarity of expression is excellent while providing an easily flowing citation of support from other writers. In addition to his own thoughts, Birnbaum provides numerous additional sources of information about the varied topics at issue.

Management Fads in Higher Education is not a typical planning treatise, though higher education professionals should be familiar with the planning techniques Birnbaum lampoons. Birnbaum's discussions of planning programming budgeting systems, management by objectives, zero-based budgeting, strategic planning, benchmarking, total quality management, and business process reengineering are reminiscent of all of the diet programs that people try. The promoter of the diet insists that if the dieter just follows instructions, successful results will follow. But they rarely do.

I have direct experience with using zero-based budgeting as both a planning and control instrument. When President Carter was mandating zero-based budgeting for all federal government agencies, including military bases, I was making presentations about zero-based budgeting to members of the Purchasing Management Association and teaching it in an M.B.A. course. The students in this course included U.S. Air Force military officers and management personnel from Texas Instruments. The students made numerous case studies on implementing zero-based budgeting into an organization. Their primary observations were that the required paperwork, as Birnbaum mentions, was enormous, and zero-based budgeting was not as much a budget planning technique as an operations review technique. The Texas Instruments personnel stressed to the class that it should not use zero-based budgeting organization-wide during any one fiscal year. Its intent was to focus each year on a few units to force them into an intensive review of their existing operations and resources in order to justify their continued existence. By contrast, the U.S. Air Force officers told us that they received guidelines from Washington, D.C. to follow the instructions sent to them and everything would be okay. The reader can guess which organization used zero-based budgeting successfully.

Birnbaum characterizes management fads in many ways, but he is not specific about what a management fad is. The definition of "fad" as a rejected planning innovation occurs most frequently (p. 10). He considers the planning techniques discussed in the book as rejected innovations. Less time is spent investigating what continues to prompt their use or the need for institutions to experiment to resolve perceived problems of higher education.

The final chapter, "Managing Fads," is particularly informative. It contains admonitions about management techniques well worth considering. Yet, even in this final chapter, Birnbaum's intended message is not clear. Is a management fad something institutions do because everyone else is doing it, or is a management fad a misuse of planning techniques? Can planning techniques, when used by experienced, professional management, bring useful outcomes? Consider Birnbaum's comments:

> The management problems of higher education today are not the result of fads, but of the social forces that give rise to fads because of our over-reliance on decision rationality and devotion to efficiency. Fads are the instruments of these forces. Fads can cause mischief, but at the same time they offer opportunities for institutional renewal. They can reinforce the tendency to turn education into a commodity whose components can be bought and sold to the highest bidder, but they also can help institutions reflect on their purposes and processes. We should be concerned about academic management fads more for what they represent than for what they actually do.
>
> Academic management fads are potentially disruptive in the hands of insecure or inexperienced managers who adopt them because they do not know what else to do. Academic management fads are potentially useful when managers who have internalized the critical norms and values of their institutions add the kernel of truth in each fad to their store of knowledge and behavioral repertoires. (p. 241)

Nonetheless, no book can tell the whole story. Birnbaum's story of management fads in higher education is a must-read for academic administrators, regents, and legislators. His basic message is that common, significant elements of sound management practices exist in all of the planning techniques that became fads since 1960. They are vision, focused mission, strategic objectives, assessment of results, flexible adjustment of operations, and excellent internal and external communications. With talented management, these elements can provide a foundation for success in higher education. In writing this book, Birnbaum has made a substantial contribution to this task.

References

Birnbaum, Robert. 1992. *How Academic Leadership Works: Understanding Success and Failure in the College Presidency*. San Francisco: Jossey-Bass.

Birnbaum, Robert. 1991. *How Colleges Work: The Cybernetics of Academic Organization and Leadership*. San Francisco: Jossey-Bass.

How to be a geezer

Recently the *Washington Post* invited readers to reminisce about how much harder life was in “the old days”. One response: In my day, we didn’t have water. We had to smash together our own hydrogen and oxygen atoms.

LETTERS TO THE EDITOR

Some thoughts on grade inflation

I realize that my own grades have risen over the years. There are at least four reasons for this:

1. I finally realized that the range 90-100% was there to be used for truly outstanding work. I used to believe that it was reserved for perfect work – and that perfect work was impossible!

2. There are fewer illiterate students in my classes than there used to be. Perhaps our intake is better, or perhaps poor students have learned not to take introductory philosophy?

3. It seems to be much easier for students to drop courses on the flimsiest of excuses. The Examinations and Standings Committee seems to regard "not doing well" as a reason to drop.

4. My increasingly heavy workload has forced me to change the nature of my assignments. Whereas I used to make all my students write several essays, they now write at most one essay, and their other assignments involve making notes on a passage in the textbook, writing summaries, and answering short questions. Such assignments are much easier to grade, and they are also such that good students can expect very high marks. I would add that they are academically useful, as they force students to pay close attention to the details of the philosophical texts being studied. Even if I had all the time in the world to grade, I would not go back to only essay assignments.

E. Jennifer Ashworth
Department of Philosophy

En garde, M. Hoffman!

It's tragic that Professor Peter Hoffman has made it so far in his university career without learning more rhetorical strategies in support of grade-fixing than bullying and descending to personal attack. For what it's worth, I read the entire adjudicator's report on the Lipshitz/Mathematics grade-changing grievance just as soon as it was public, as indicated in my opening letter on the case. So I was well aware of the detailed arguments supporting the administration's position. I responded to the report only at the express invitation of the Editor of the *Forum*. Normally I would expect a professor with highly derogatory things to say about a colleague to have the courage to say them to her face. I'm not hard to locate. Come on, Peter, what do you say? Your office or mine?

Jeanne Kay Guelke
Department of Geography

Novak replies:

Although some criticisms (*Forum*, Oct 2001) made of my letter (*Forum*, Sept 2001) seem to find their response in the very events subsequent to the WTC and Pentagon attacks, there are some fundamental underlying points that still need to be addressed, lest the points I expressed be misinterpreted. Who the perpetrators were, what their motivation was, and the widespread satisfaction their actions provoked in the Islamic world are reasonably well known and need little further comment. However, there are two issues that, I believe, need some further elaboration.

First, my letter did not attack spiritual or religious beliefs as such nor did it propose that a purely secular world view would, if universally adopted, transform the earth into an idyllic paradise. Institutionalized or ideologically driven forms of "religion", however, can easily exercise such a corporate influence through their members that those adhering to them become inextricably entwined in the evils these institutions produce. Now, it is trivially true that no man is an island and that everyone is associated, at least at times, with various governing bodies whose bad actions can be, at the best, annoying and, at the worst, hideous. However, while most people seem to agree that they neither can or even should uproot any and all evil whenever and wherever it may be, most do seem to agree that there are occasions where some action, either by word or deed, is required. Indeed, the judicious use of boycotts (for instance, those against grapes, clothing items, shoes, etc.) has often been proven effective. I suspect most people would agree that if a product is producing considerable harm (or even death), some action need be taken.

Now, if such action is to be taken in the case of association with organizations that are indispensable (such as governments) and in the case of societal practices (habits of eating, clothing, etc.) that have become embedded, surely it is all the more the case with institutions to which one gives free adherence.

The hesitancy or reluctance of the Islamic community to issue unequivocal condemnations of those "religious" leaders who instigated or were responsible for the September attacks illustrates the destructive character of the solidarity so deeply entrenched in that community. (For instance, as of mid-December, according to one newspaper report, the Bin Laden family was seeking help from a PR firm to determine how best to express an apology for the September events that would not be offensive to the Muslim community. Most people, I think, will find a PR apology to be no apology at all). This kind of solidarity is, however, basic to the very nature of Islam and is expressed in the notion of the ummah (brotherhood). Notwithstanding the differences between Islamic groups, Muslims are called to defend one another, if attacked. The concept of attack can be very broad – even a secular environment can be interpreted as inimical to Islam itself. This concept gives Islam an ideological (and political) dimension that mere religions essentially do not have and its roots are found in the very beginnings of Islam. (Catholicism, for instance, did at one point strive, through the papacy, to dominate political powers theocratically – it still retains statehood as Vatican City, although it is a diminished shadow of its former glory.)

Now, some may claim that such solidarity is only an attitude endorsed by "extremist Muslims" and it is not shared by "moderate Muslims". The adjectives in these labels, however, are imposed by Western analysts and are often applied to their own organizations where the "moderate" often pick and choose what they wish to endorse. In the case of Catholicism, for instance, such people are often called "cafeteria Catholics" but a very good argument can be made that such people are not Catholics at all. Thus, with even greater reason it can be asserted that with regard to the basics of Islam, there can be no "market Muslims."

Being a Muslim is not a matter of genes; it is not a matter of race; it has nothing to do with the color of hair, muscle size, or body structure. Rather, it is a matter of choice. One can choose to be a Muslim and one can choose not be a Muslim. If one chooses to join the ummah (brotherhood), one will find oneself supporting the brotherhood and thereby becoming responsible for what it does.

One final point. It was remarked that I employ double negatives in my prose. Regarding that charge, I must admit that I am not without guilt.

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REVIVING CANADA'S HEALTH CARE SYSTEM – REVIEW

Code Blue: Reviving Canada's Health Care System, by David Gratzer, published by ECW Press, Toronto, Ontario, Canada, 1999. 222 pages + notes and index.

Today's media likes to assume that every death is preventable and represents a failure somewhere in the health care system. People do die, sometimes without regard to whether or not they have received health care.

Gratzer starts his book by positing the near-death of Canada's health care system. He frequently points out the existence of waiting lists as evidence to support this premise, indicating that waiting lists signal poor quality of care. I would suggest that quality of care can be better judged from a clinical standpoint; that is, by finding out whether a correct diagnosis was reached, whether an appropriate treatment was provided, and whether there was an acceptable outcome. These seem to me to be better determinants of whether the health care system is working or not. Delays in heart surgery are pointed out as a cause for concern. This is an emotionally fraught topic. No one would like to think of their life slipping away while they waited for heart surgery. Nonetheless, there is no clear evidence that procedures such as coronary bypasses cause an increase in life expectancy (although there is an increase in quality of life). Waiting times for eye surgery (most of which is cataract surgery) are mentioned on p. 32 as among the longest, yet in the majority of cases cataract surgery is elective, and in some cases has been performed on people who have had 20/20 vision prior to surgery. The issue of waiting for treatment of tumors is just as emotionally fraught as the heart surgery issue. Gratzer points out that Canadian physicians are inclined to accept longer waiting times than their US counterparts. It could also be that their US counterparts will not accept longer waiting times because of greater concerns about lawsuits from their patients.

The major sections of the book are as follows:

- A troubled system
- The sound of silence
- Health care south of the border
- The fundamental flaw
- Demographics, drugs, and disaster
- Back to basics
- Why choice and freedom work
- Real health care reform in action

Gratzer, himself a practising physician by now, states that the health care system should "allow individuals to make their own health care decisions". He should know that the average member of the public doesn't have the background to do this. Moreover, those who do have the necessary background (physicians, for example) wouldn't be able to make the kind of impartial decisions required in their own cases.

On page 127, Gratzer suggests that treatment of a bacterial throat infection is unnecessary, but overlooks the possibility of streptococcal disease, which starts out as a bacterial throat infection but may contribute to far-reaching problems in future, such as glomerulonephritis and endocarditis. Some interesting typographical errors occur. For example, on p. 49, Gratzer refers to 'Debitron's disease' where he obviously means Depuytren's contracture. Carpal tunnel syndrome is printed 'carpel' tunnel syndrome on the same page. On page 99, the word gambit is used where gamut is intended.

Gratzer is fond of adducing anecdotal evidence, although he usually often adds that we need better evidence. He challenges the notion that publicly-funded health care is better in Canada than in the US, pointing out that 70% of health care spending in Canada is from the public purse, versus 56% in the US. I took the opportunity of asking a long-time friend of mine who lives in Massachusetts for her opinion. She has serious health problems due to poor circulation, has lost one leg from this cause, and requires dialysis treatments twice a week. Here are her comments:

> I would LOVE to expound on my favorite, most hateful topic in the world. I get so emotional I can hardly begin. But I will begin with this. In Canada, one does not have to pay for a sickness with his or her whole life's work, study, career etc. In the US, in order to get public health care, one cannot have anything and I do mean anything. No savings bonds, stocks, land, property other than a single family residence which belongs to the government if you are in the hospital too long or after you die. Your home cannot be on a trust, or owned as a two (or more) family dwelling. A car cannot exceed $2,000. Actually, any and all assets including cash in wallet cannot exceed $2,500. If you live with someone, then they have to have nothing or prove they won't and don't have to give you any of their money.
>
> Marriage is out because the spouse can't earn more than $250 gross pay per week. If there is a roommate, they are obligated to advise the government if they are having a baby. This goes on and on. I have to get fuel assistance, food stamps and every poverty program around. Dialysis costs around $3,000/month, provided that I don't get sick. If I had a job that included health insurance I'd still be obligated to pay co-payments, insurance premiums and varying percentages of the

> bill. Paychecks have deductions for medicare, Social Security, Disability and old age (over 65). Then comes more complications. My aunt who is 85 and has a few bucks has to pay $400 every quarter for premiums and endless co-payments etc. The government has varying degrees of coverage. It depends on the disability, the poverty level, etc. One does not get sick in the USA unless one is a master at manipulating the government or lives like a pig or is a pig.
>
> I cannot earn a dime legally or sell or give away anything of value unless I tell the government what, where, who and why. It may be public health care, but it sure ain't free!!!!!

What my friend refers to here is sometimes called the 'spend-down' phase: ill people have to expend nearly all of their financial resources before they are eligible for public health care.

Gratzer raises a number of serious issues, certainly:

- where there is no competition among health-care providers, there is little stimulus for them to improve either their quality or efficiency of care
- when people feel that health care is 'free', they are inclined to seek attention for what may be trivial illnesses (the common cold is frequently used as an example here)
- the costs of health care are increasing

One of the most serious flaws in regarding health care as a commodity is that the consumer has little or no basis for deciding who is the better (or best) health care practitioner. The consumer can certainly tell whether or not a loaf of bread (to use one of Gratzer's illustrations) is edible or not (although there could be additives whose effect might not be recognized for decades). The consumer cannot tell whether practitioner A has taken better (or worse) care of him/her than practitioner B. Practitioner A may have recommended a course of action which will ultimately eliminate the consumer's illness, but which does not immediately remove their signs or symptoms, while practitioner B may give the consumer a prescription for something which will effectively mask their signs or symptoms. The consumer may erroneously conclude that practitioner B is the better one, while the licensing body might fairly conclude that practitioner B was guilty of malpractice. Practitioner B would then bring in a large number of patients to testify on his/her behalf, all of whom would be thoroughly convinced that practitioner B was wonderful.

The sort of competition which will cause the professions to improve is the sort of competition with which each practitioner has been imbued as part of their training and as part of their vocation: the competition of an individual to be the best he/she can be. This sort of internal motivation can only arise from within the practitioner, and will not be positively influenced by 'market pressures'. One of the strongest reasons for self-regulation of health care professions is the stimulus provided by the licensing bodies to provide the best possible health care.

The general public needs strong reminders that their health care is NOT free, and that they ARE paying for it. This is a situation in which the 'medical savings account' envisaged by Gratzer can be helpful. The medical savings account concept is as follows: each individual is told that they have X$ available for their health care per year (for example). Each time they make use of the health care system, they present something like a debit card, and their balance is reduced by Y$. Only in cases of severe illness would the individual be allowed to overdraw their account. In some places where this concept has been employed, the individual is rewarded for not using up their entitlement; in others, they are allowed to roll over any unspent balance into the next year. The obvious benefit of this approach is that people are made to understand that there is only so much money in the bank. Health care practitioners need the same reminder: the funding faucet can only be opened so wide, and after that further turning will not only fail to increase the flow, but also may damage the faucet. Third party agencies (such as governments) have proposed capitation fees, by which a health care practitioner is paid a flat fee per patient. This is another sort of 'medical savings account' as well. Other questions are being raised: How many operations of a certain kind can effectively be done by a surgeon on a given day? Another way of alerting the public to the cost of health care is to charge user fees. This term seems to cause a visceral rather than an intellectual response from hearers. The image of a patient standing in a hospital (which has been built by their tax dollars) and complaining about a user fee (which they regard as somehow a more real blow to their pocketbook) is paradoxical. The costs have all come out of the same pockets. Gratzer cites the RAND study in which two groups were compared: one group who received 'free' health care and another who paid user fees. This study showed that institution of user fees resulted in decreased use of health care services, with no appreciable change in the health status of the participants. This conclusion is interesting, but perhaps not that relevant to issues of long-term cost containment: If the public is educated to the point that they do not overuse the health care system, then it makes little difference whether user fees are in place or not.

The cost of health care is definitely increasing, as Gratzer has pointed out. With the graying of the population, there may be increasing demands on the health care system. It is also true that it is possible to use past data to project that in future 100% of the gross national product will be expended in health care. We should bear in mind that accounting is taught in the Faculty of Arts for a good reason. It is possible that, with the high quality of present health care, the aged of the future will have fewer problems. It is also possible that low-technology considerations (things like diet and exercise), combined with preventative health care (the poor physician treats disease; the good physician prevents disease) may lessen the load on the health care system in future.

In conclusion, Gratzer believes that the medicare system has corrupted the patient/practitioner relationship by freeing the patient from the costs of health care. He advocates dismantling the medicare system in favor of the free-market, medical savings account approach. I would suggest that some of the ills he has identified could be alleviated by educating the patient and the practitioner about the costs of health care, rather than by dismantling the medicare system. Whichever view you embrace, you will find this a stimulating book.

David Williams
School of Optometry

UW GRIEVOR WINS CASE IN EXTERNAL ARBITRATION

by Len Guelke (Geography), Ray McLenaghan (Applied Mathematics), Frank Reynolds (Statistics & Actuarial Science)
FAUW Academic Freedom and Tenure Committee

One of the most important new articles of the Memorandum of Agreement (Article 9) is a grievance procedure which permits a member to take an unresolved grievance against the University administration to external arbitration. This article was invoked for the first time in the Stanley Lipshitz and Association grievances relating to grade changes, both of which went to external arbitration in parallel. We now have a second grievance case on which to report involving external arbitration, which provides a second test of the external arbitration article.

The key issue in this grievance was whether the University's policies and practices relating to retirement were fair when applied to a member suffering from a disability. The case involved a number of procedural and legal issues all of which were decided in the grievor's favour.

Facts of the Case

The professor who grieved was a long-time member of the faculty who became disabled as a result of a progressive medical condition. After a period of total disability the professor approached the administration and a partial return to work was negotiated. The professor fulfilled his research obligations completely, most of his committee work and part of his teaching. While the exact percentage varied over time the professor was judged to be carrying a 40% load. Accordingly, the University paid 40% of the professor's regular salary and the long term disability plan carrier paid 60% of its regular benefit for a fully disabled person.

The arrangement was reasonably successful until the professor approached his normal retirement date. The University's Pension Plan provides that a person's normal retirement date shall be the first of the month following the person's 65th birthday, except that professors may elect to continue to the end of their contract year. For this professor, that meant an additional eleven months of employment.

The Human Resources Department informed the professor that long term disability benefits would cease at the first of the month following the professor's 65th birthday and that this would consequently be the professor's firm retirement date. The cessation of disability benefits at the end of the first month following a professor's 65th birthday is in accordance with the University's contract with Manulife for long term disability coverage.

Based on the information supplied by the Human Resources Department, the professor completed the paper work to retire on the first of the month after reaching age 65.

Subsequently, the professor had doubts about the fairness of his treatment and contacted the Faculty Association's AF&T Committee. The Committee member assigned to the case and the Committee chair felt it was not. They met with the Vice President, Academic and Provost who agreed to extend the professor's employment on reduced load (40%) for the extra eleven months. This had three effects. First, 40% of regular salary exceeded the professor's pension. Secondly, the professor's pension accrued for an additional eleven months. Thirdly, the reduction for the joint and survivor option was less.

While these negotiations were in progress the case was being reviewed by the lawyers at CAUT to see whether or not the professor was being treated differently from non-disabled colleagues. The lawyers subsequently agreed with the FAUW AF&T Committee members involved that there was differential treatment. On receipt of the CAUT review, the professor filed a grievance. This was done promptly, but six months had elapsed since the professor reached age 65.

The University argued that the grievance had not been filed within the time limit specified in Article 9 of the Memorandum of Agreement. This issue was submitted to the arbitrator who ruled that the grievance had been filed in a timely fashion.

On reviewing the written submissions of the legal representatives acting for the University and the Faculty Association the arbitrator concluded (in a thirteen-page written judgement) that the University had discriminated against the professor by failing to continue his full compensation in the eleven month period of employment after reaching age 65. The arbitrator directed the University to compensate the grievor in respect of losses suffered as a result of this failure.

Ramifications

The case has other ramifications. There are a number of faculty on long term disability. While the University's contract with Manulife will continue benefits only until the first of the month following the disabled professor's 65th birthday, the University must either pay the equivalent of the disability pension *or* the professor's full salary for the period from the professor's 65th birthday till the end of the professor's contract year. This award will increase the professor's take home pay for this period and also the professor's pension.

Importantly, the case has confirmed that the University has a contract with the professoriate. If the University decides to reinsure its liability with an insurer, it is the University's contract with the professoriate which shall prevail – not the University's contract with the insurer.

A final bonus of the new system is its affordability. The full cost of all the proceedings on the FAUW and grievor side was about $3,000. The grievor's share of the cost amounts to a fraction of his anticipated reimbursement compensation. External arbitration has the professionalism of court processes without the high costs. The other costs associated with arbitration can be significant, but for this case CAUT legal assistance was available for its preparation and presentation.

The outcome of the arbitration was favourable for the faculty grievor in this case. More important for members of the Association generally is the choice of a process for settling disputes that is rigorous, professional and independent. Both sides can be represented by qualified counsel with assurance that their arguments are being heard by an experienced arbitrator independent of the University administration. The grievance process allowing for external arbitration (Article 9) is a significant advance over earlier policies that provided for internal tribunals only.

The arbitrator's written judgement in this case is available for perusal in the Association's office. Any member wishing to read the full judgement should contact Pat Moore, ext. 3787.

MEMBERSHIP REMINDER

New FAUW membership cards for 2002 have recently been mailed to all members.

Your membership in the Faculty Association includes membership in the Grad House. Just show your FAUW card as your identification.

If you are not a member of the Association and would like to join, please contact Pat Moore in the FAUW Office (x3787 or facassoc@uwaterloo.ca) for a membership form.

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FAUW Forum

The FAUW Forum is a service for the UW faculty sponsored by the Association. It seeks to promote the exchange of ideas, foster open debate on issues, publish a wide and balanced spectrum of views, and inform members about current Association matters.

Opinions expressed in the Forum are those of the authors, and ought not to be perceived as representing the views of the Association, its Board of Directors, or of the Editorial Board of the Forum, unless so specified. Members are invited to submit letters, news items and brief articles.

If you do not wish to receive the Forum, please contact the Faculty Association Office and your name will be removed from the mailing list.

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PRESIDENT'S MESSAGE (*continued from page 16*)

At present, we are the only university in Canada whose professional librarians are represented by a staff association. At all other universities in Canada, professional librarians are either members of the faculty association or have formed their own bargaining unit. The professional librarians here have made it clear that they wish to be members of the Faculty Association. However, the Administration quite simply refuses to discuss the issue with us, and we cannot open up a dialogue about this issue without their consent.

In my view, the professional librarians are our academic colleagues. This refusal to discuss the issue and arrive at a negotiated agreement that is satisfying to the professional librarians can only have negative consequences for all involved. Certainly many of the professional librarians believe that their academic expertise in their specialist areas is not rewarded under their current assessment structure, and for many their frustration regarding their status is increasing, especially when they compare their status to that of librarians at other universities. This is a situation of clear inequity that all faculty need to be aware of. We depend on the professional librarians to keep up with and assess current developments in our fields, and yet this expertise is not been acknowledged under the current structure at the University of Waterloo.

So in short we are greatly encouraged by the progress on the development of new policies that will help guide us in times of crisis. And we aim to continue advocating for our academic colleagues in the library.

PRESIDENT'S MESSAGE

by Catherine Schryer
Department of English

Greetings and Salutations

The Faculty Association has, as part of its mandate, the task of assisting in the development of new policy, especially policy that affects faculty at the University of Waterloo and becomes part of our Memorandum of Agreement. In this message I would like to report on two areas of new policy development. In one area we have achieved a reasonable degree of success. We, however, are stalled and stonewalled on the other issue.

For more than a year the members of our Memorandum of Agreement committee – Fred McCourt, Metin Renksizbulut, and Jim Brox – have been meeting with the Administration team to draft three crucial articles dealing with Program Redundancy, Financial Exigency, and Layoffs. I am happy to report that both sides have reached agreement on these articles. Each article envisages a time of crisis within the University and proposes ways to handle that crisis so that the impact on faculty and the academic quality of programs is minimized. These articles are badly needed because at present we do not have any carefully designed policies and procedures to deal with these contingencies. None of us, of course, wants to even consider the possibility of program closures or faculty layoffs. However, as recent events in British Columbia suggest, we need to be prepared with good, workable procedures to protect ourselves and the academic programs that we care about.

The following outlines some of the features of the draft articles and the process that we will follow as we seek your ratification of these new, important policies.

The proposed Article 15, Program Redundancy, will come into play only when a program is being considered redundant for academic reasons. This article contains features such as an assessment process, full consultation with all parties, and the transfer of faculty members to other units whenever possible.

The proposed Article 16, Financial Exigency, could be invoked if the University faced a substantial and recurring deficit. This article would guide the process wherein it is determined that a serious financial exigency exists and the financial implications of such an exigency. This article includes features such as a joint external and internal review of the University's finances, full consultation with all parties, full disclosure of all information, and detailed justifications of any proposed cutbacks.

The final and most difficult proposed new policy, Article 17, Layoffs, would govern the procedures around possible faculty layoffs. This article sets out the strictly limited conditions under which layoffs could occur and then offers a process which aims to preserve academic units while still respecting the rights of faculty members. Again full consultation is an important feature of this policy. This article also establishes recall procedures in the event that a financial exigency is resolved.

Of course, I have only provided highlights of the articles and all faculty members will need to study the articles in detail before deciding whether or not to ratify them. To facilitate this study, we have posted the proposed articles on our web site. We will also be holding at least two information meetings prior to the date of ratification (still pending but soon).

It is our view that the existence of these proposed articles represents a model of successful and collegial negotiations with the Administration's team. In fact, both sides worked long and hard to arrive at a balanced and reasonable set of procedures. We are satisfied with our progress in this important area, and we hope that you will be satisfied as well.

However, when we signed the Memorandum of Agreement several years ago, we agreed that we would continue negotiations on other outstanding issues as well – the most important being the status of the professional librarians.

(Continued on page 15)