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ABSTRACT

Chairpersons of governing boards were surveyed
regarding the policies and practices related to extra-income-earning
activities of faculty at their institutions. The results are
preliminary since more data are still being collected. A total of 176
institutions were surveyed, ranging from two-year colleges and
specialized professional schools to major doctoral-granting
universities, and the preliminary response rate was approximately 50
percent. Areas surveyed included: production/use of educational
materials; patents and inventions; paid sabbatical leaves; continuing
education/extension; conflict of interest; and internal load and
overload. Across all policy areas surveyed, board knowledge, current
involvement, and future involvement tended to be moderate or less,
although anticipated future involvement was significantly greater
than current involvement ratings. Chairpersons indicated that
relatively little of their responsibility for any of these areas
should be delegated to faculty, administration, or students. It is
concluded that the governing boards often have legal responsibility
for these policy areas and are unwilling to delegate responsibility
for them, but have only limited knowledge of what policies exist at
their own institutions and are not planning to become heavily
involved with them. (Author/LBH)

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ETHICAL AND ECONOMIC ISSUES: TRUSTEE INTEREST AND INVOLVEMENT IN ACADEMIC POLICIES FOR FACULTY CONSULTING, OVERLOAD TEACHING AND INTELLECTUAL PROPERTY RIGHTS

Preliminary Results

by

Herbert W. Marsh

Robert H. Linnell

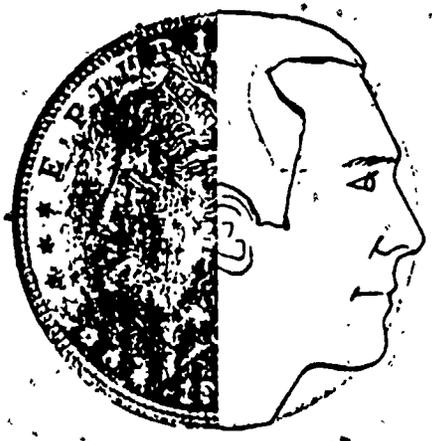
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HIGHLIGHTS

- ***The purpose of the study is to survey Chairpersons of Governing Boards about policy/practices related to extra-income-earning activities of faculty at their institutions. Results are preliminary since more data are still being collected.
- ***A total of 176 surveys were sent to Chairpersons of institutions ranging from two-year colleges and specialized professional schools to major doctoral granting universities. The preliminary response rate was approximately 50%.
- ***Across all nine policy areas surveyed, Knowledge, Current Involvement, and Future Involvement tended to be moderate or less. The ratings were somewhat lower for privately controlled institutions and particularly for private liberal arts colleges.
- ***Board Knowledge and Involvement was lower for "Production/Use of Educational Materials" and "Patents & Inventions", and higher for "Paid Sabbatical Leaves" and "Continuing Education/Extension".
- ***Anticipated Future Involvement was significantly greater than Current Involvement in each of the nine policy areas, and particularly in "Production/Use of Education Materials", "Conflict of Interest", and "Internal Load & Overload".
- ***Chairpersons indicated that relatively little of their responsibility for any of these areas should be delegated to faculty, administration, or students.
- ***In summary, the Governing Boards often have legal responsibility for these policy areas and are unwilling to delegate responsibility for them, yet they have only limited knowledge of what policies exist at their own institutions and are not planning to become heavily involved with them.

Acknowledgements

The authors wish to thank the Association of Governing Boards for a grant which made this study possible. The authors are also pleased to acknowledge the assistance of Ms. Zoe Cosgrove in conducting this study.

"ETHICAL AND ECONOMIC ISSUES: TRUSTEE INTEREST AND INVOLVEMENT IN ACADEMIC POLICIES FOR FACULTY CONSULTING, OVERLOAD TEACHING AND INTELLECTUAL PROPERTY RIGHTS"

Preliminary Results

Herbert W. Marsh, Head, Evaluation Services
Robert H. Linneff, Director
Office of Institutional Studies, University
of Southern California

INTRODUCTION

The last three decades have been a period of unprecedented growth in higher education. During most of this time new faculty were in short supply, which resulted in more favorable faculty employment conditions such as reduced teaching loads and higher salaries. The administrators of higher education spent much of their time in securing funds (which were readily forthcoming) for campus buildings and increasing the number of faculty and support staff. Many policy-practice areas were passed over lightly, if considered at all, in the rush to accommodate the rapidly increasing numbers of students.

That era is now over. Academe now must put more emphasis on academic program planning and evaluation and on effective management of finite and limited resources which are not likely to increase rapidly in the future. One policy-practice area which has not received much attention but is emerging as potentially very troublesome is that of extra-income-earning activities (both internal and external to the university) of many academic faculty and staff members. Extra-income-earning activities may pose problems in particular in one or both of two areas; they require time which may or may not be paid for already as regular teaching load, and they produce property whose ownership may or may not be properly assigned. A basic confusion exists as to how "faculty load" should be defined, thus making it virtually impossible to determine what overload is. So long as it remains unclear how much staff and faculty time is due for salary, the employing institution has no valid claim

to fees paid or property produced on what the staff or faculty member assumes to be his own time. External "overload" may involve teaching at another institution, sometimes one in competition with the full time employer institution. Production of educational materials (texts, audiovisuals, etc.) even though done at one's own institution with institutional resources (including students) usually returns royalties to the individual, not the institution. In research institutions similar policy questions of ownership and royalty income arise concerning patents, software and educational materials. Consulting for industry, government and others is a common practice of faculty and some academic professional staff. Some faculty and professional staff have created firms which may compete with their own institutions for contracts and grants or produce goods related to university projects. In a few cases these firms have been founded in order to avoid payment of university overhead or to bypass policies on overload income from work on sponsored projects. Serious conflict-of-interest questions arise, namely 1) time commitments (to academic work vs. extra-income work) and 2) intellectual bias and loss of academic freedom and objectivity. Can a faculty member simultaneously consult for the nuclear industry, be supported by research funds from the Federal Agency ERDA and serve a Federal nuclear regulatory agency and maintain complete impartiality?

Preliminary work on this problem area, supported by the Carnegie Corporation of New York, indicates that serious problems do indeed exist and are in need of attention. Interviews were conducted with faculty and administrators at ten universities (Kinell and Marsh, 1977). Every interviewee at each of the institutions identified at least one major problem area. This study made clear that policy and practice in this study area are usually fragmentary, vague and frequently ad hoc or simply non-existent. The study concluded that policy review and revision is needed to protect academic freedom from external pressures, including government regulation, and to maintain the integrity of academic institutions.

An extensive survey on the composition of Governing Boards (Gomberg and Atelsek, 1977) provides background information on the trustees who serve on them. These authors identified slightly more than 3,000 institutions, but of these 30% were governed by multi-campus Boards--Boards which governed an average of 5.5 institutions. Overall trustees are usually white males (15% were women and fewer than 10% were from minority groups), well educated, generally over 50, and largely professional. Nearly 20% hold trusteeships on more than one governing board. This description probably also characterizes respondents in the present study.

The present study aimed to survey Chairpersons of Governing Boards about policy/practices related to extra-income-earning activities at their institutions. Respondents were asked to indicate their knowledge, satisfaction, current involvement and future involvement with each of nine policy areas. Their responses indicate the role which Governing Boards play in these important policy making areas.

METHODS

Survey Instrument

The survey instrument (See Appendix I) was designed to gain information on nine broad policy areas which span the area of interest of this study. Each respondent was asked to indicate: 1) His/Her KNOWLEDGE of these policies at his institution, 2) His/Her SATISFACTION with his institution's current policies, 3) The CURRENT INVOLVEMENT of the Board; and 4) A forecast of the FUTURE INVOLVEMENT of the Board. These four questions were answered for each of the nine policy areas presented in Appendix I. In addition, Board Chairpersons indicated other Board functions and responded to several open-ended questions related to the policy areas.

Sample and Response Rate

The population of institutions considered in this study was the 2,827 schools which were categorized by the Carnegie Commission on Higher Education

(Carnegie Foundation, 1973). This classification scheme comprises five major divisions: 1) Major Doctoral-Granting Institutions (at least 10 doctor's degrees), 2) Comprehensive Universities and Colleges, 3) Liberal Arts Colleges (few or no professional/occupational programs), 4) Two-Year Schools, 5) Professional and Other Specialized Institutions (Theology, Business, Art, Music, Law, and Teacher Colleges which are not part of a broader institution; Medical schools were excluded from this classification in our study). Twenty to thirty schools from each of these categories were selected so as to obtain a good mix in geographical locale, institutional enrollment, and control (public vs. private). A small sample of nine multi-campus systems in which a single governing Board presided over several different campuses was also selected. In a later mailing surveys were also sent to all members of the Association of American Universities (an association of 50 major research universities all falling into category I of the Carnegie classification scheme) which were not already included in the sample.

A total of 176 Board Chairpersons were sent surveys. Follow-up mailings were sent to all non-respondents. At the time of this writing, responses are still being received, and several Chairpersons have indicated that their responses will be sent shortly. Telephone inquiries are still planned for non-respondents. Consequently, results presented in this paper are truly "preliminary". In the follow-up mailings a post card was included with an additional copy of the survey instrument. Respondents were asked to return the post card even if they did not intend to complete the survey. The card asked why the Chairperson elected not to complete the survey (lack of knowledge of the policy areas, lack of relevance of the policy areas to their Board, or an unwillingness to take time to complete the survey). Across all sampled institutions, the response at this writing is almost 50%. This rate does not differ appreciably among the classifications or between public and private institutions. The sample and response rates are presented in

more detail in Appendix II.

RESULTS AND DISCUSSION

Ratings of the Nine Policy Areas

For each of the nine policy areas five variables were analyzed: Knowledge, Satisfaction, Current Involvement, Future Involvement, and Anticipated Change in Involvement (i.e., the difference between Future and Current Involvement). These results are summarized in Table I and Appendix I. Board Chairpersons gave the highest ratings to the policy areas of "Paid Sabbatical Leave" (Knowledge, Satisfaction, and Future Involvement) and "Continuing Education/Extension" (Knowledge, Current Involvement, and Future Involvement). Ratings were lowest for "Patents and Inventions" (Current Involvement and Future Involvement) and "Production/Use of Educational Materials" (Knowledge and Current Involvement).

Board Chairpersons, across all nine policy areas, indicated that their KNOWLEDGE of the policies at their institution tended to be "3-moderate" or less, while their Satisfaction with these policies was somewhat higher. The Boards' CURRENT INVOLVEMENT with these policies was quite low. Respondents did indicate a statistically significant ANTICIPATED CHANGE IN INVOLVEMENT in each of the nine policy areas. Yet, in spite of this increased involvement, FUTURE INVOLVEMENT was still generally rated to be "3-moderate" or less. The areas with the largest anticipated increases in involvement. (See Figure I) were "Production/Use of Educational Materials", "Conflict of Interest", and "Internal Load and Overload". However, the changes in involvement were largely a function of the very low levels of involvement which currently exist. In the policy area "Production/Use of Education Materials", for example, nearly 50% of the respondents indicated their CURRENT INVOLVEMENT was "1-Very Little (or none)". While the ANTICIPATED CHANGE IN INVOLVEMENT was the largest of the nine policy areas, about 25% of the respondents indicated that their FUTURE INVOLVEMENT would still be "1-Very Little (or none)".

Across all nine policy areas, ratings tended to be lowest for private institutions, and particularly for private liberal arts colleges. Many private liberal arts, private two-year, and private professional and specialized colleges indicated that some or all of the policy areas had limited relevance to small teaching colleges. Public institutions, private universities, and private comprehensive schools did not question the relevance of these policy areas.

Board Activity & Relation to Policy Area Ratings

Board Chairpersons were asked to indicate the Boards' role in each of 12 possible Board Functions (See Appendix-I). Responses indicated that virtually all boards have some role in almost all of the functions. In some cases the role is one primarily of reviewing and approving work done by others (Specific Project Grants & Contracts, Faculty Salaries, Employment Benefit Packages, Establishing New Academic Units, and Granting Tenure). For some functions (Appointment of Chief Executive and Management of Investment) the role is that of a participant; plans are initiated, determined or developed by the Board itself rather than by others. However, the level of Board activity in these functions shows little relationship to any of the nine Policy Area ratings.

Open-Ended Comments

Chairpersons were asked open-ended questions related to the project:

1) Are there Specific Policy Problems? 2) Are there Particularly Successful Policies? 3) Are there other Policy areas which should have been included in the Study? and, 4) Should the Board delegate responsibility for these policy areas? The first three questions drew only occasional responses; fewer than 25% of the chairpersons responded. The most frequently mentioned policy area--both in terms of problems and successes--is Internal Load/Overload. The only additional policy areas for inclusion in the study mentioned more than once are "tenure/promotion policies" and "relationship to government".

Most Chairpersons did respond to the question about whether or not responsibility for these areas should be delegated to administration, faculty, and students. Individual responses range from "delegate responsibility for all areas" to "delegate no responsibility for any of the areas". However, the consensus was that relatively little responsibility for these areas should be delegated. 40% of the responses indicated that no responsibility should be delegated, while another 46% indicated that only limited responsibility of responsibility for specific areas should be delegated. Only 14% indicated that considerable responsibility should be delegated. (See Table III).

SUMMARY, CONCLUSION, AND IMPLICATIONS

Chairpersons of the Governing Boards of educational institutions were asked to complete a survey concerning their institutions' policies in nine areas related to extra-income-earning activities of faculty. The respondents were to indicate their Boards' knowledge, satisfaction, current involvement and future involvement in each of the policy areas. Close to 50% of the Chairpersons, representing institutions ranging from two-year colleges and specialized professional schools to major doctoral granting universities responded.

Surveys returned show that Chairpersons generally had only "moderate" or less knowledge of the policies and that Board involvement in their determination had been rather limited. Respondents did indicate that they anticipated an increase in their involvement in each of the nine policy areas. However, even with this increase, future involvement in these areas would be only moderate. The areas in which the largest increase in involvement were anticipated were "Production/Use of Educational Materials", "Conflict of Interest" and "Internal Load and Overload".

Open-ended comments displayed a wide range of opinion about whether or not the Board should take responsibility for these policy areas. However, most Chairpersons felt that relatively little responsibility should be delegated to administration, faculty, and students.

In summary, it appears that the Governing Boards have relatively little

involvement in determining these practices and generally have no more than moderate knowledge of what their institutions' policies actually are. While the Board Chairpersons generally feel that at least a major portion of the responsibility of the determination of these policies should reside with the Board, even their anticipated future involvement is no more than moderate. Boards usually have legal responsibility for these policy areas, indeed most are unwilling to delegate responsibility for them, yet they have only limited knowledge of what policies exist at their own institutions and are apparently unwilling to become more involved. Either the authors are mistaken in their assessment of the importance of these areas or Governing Boards need to reevaluate their thinking.

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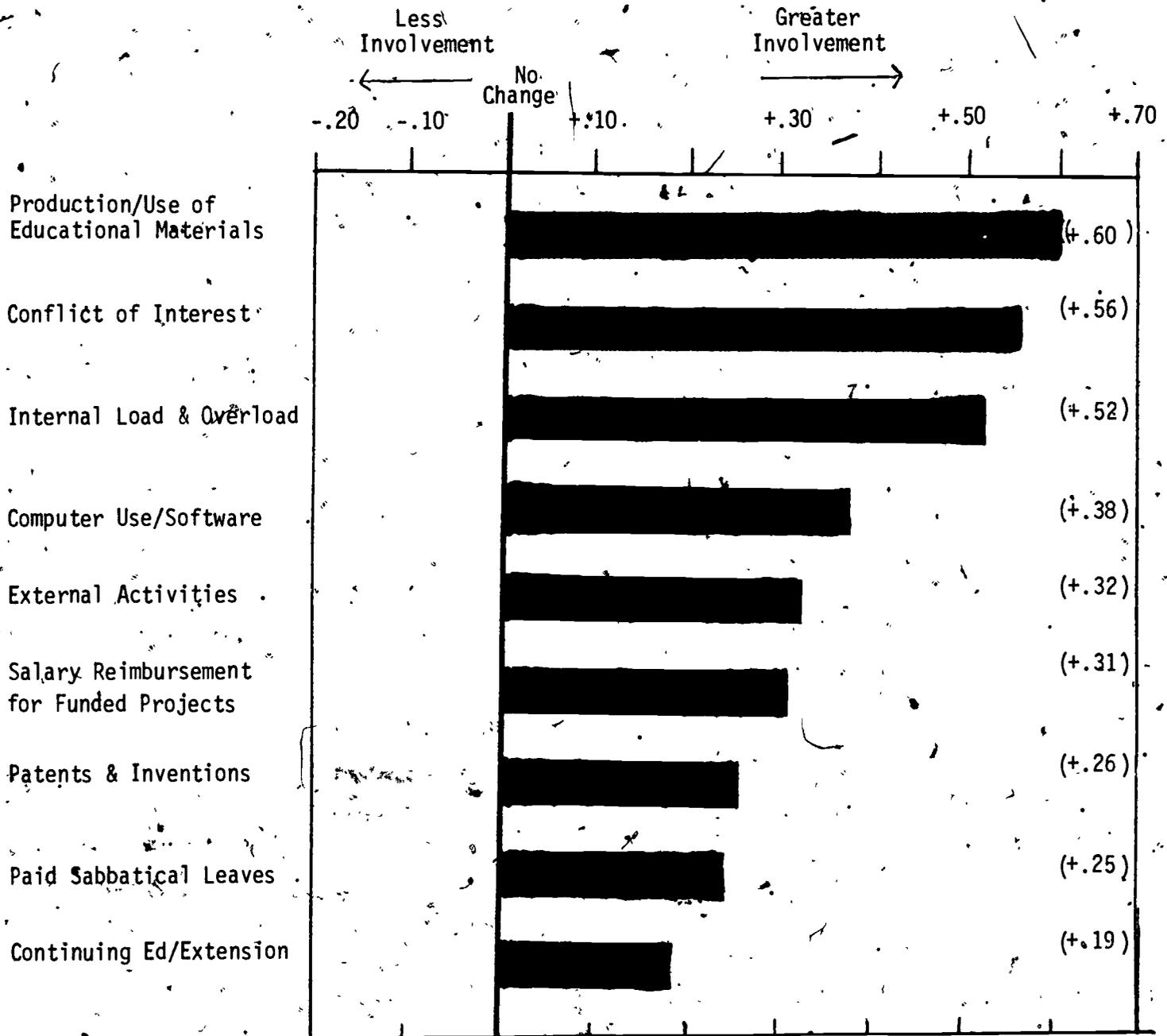
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Figure I

Anticipated Change¹ in Involvement in Nine Policy Practice Areas



¹Change is defined as: $\text{Change} = \text{Future Involvement} - \text{Current Involvement}$. Positive values indicate anticipated increases in involvement. Both Current Involvement and Anticipated Future Involvement were rated along a 5-point response scale: 1-Little (or none)...

²Moderate....5-Extensive.

³Respondents indicated statistically significant increases in anticipated involvement in each of the nine policy areas.

TABLE ONE

Summary of Responses to Nine Policy/Practice Areas¹

Ratings determined by responses based on the following five-point scale:

NA	1	2	3	4	5
not appropriate or do not know	very little (or none)		moderate		extensive

I. KNOWLEDGE of policies at your institution.

*On the average, chairpersons responded in 5.0 of the nine possible areas with KNOWLEDGE ratings between "3-moderate" and "5-extensive". The mean response for all nine policy areas was 2.8.

*KNOWLEDGE was generally lower in "Private Schools", particularly lower in "Private Liberal Arts Institutions".

*KNOWLEDGE was significantly lower for "Production/Use of Education Materials" (mean rating 2.2); and significantly higher for "Continuing Education/Extension" (mean rating 3.3); and "Paid Sabbatical Leaves" (mean rating 3.7).

II. SATISFACTION with existing policies at your institution.

*Chairpersons responded in 5.7 areas of the nine possible with ratings of "3-moderate" or higher. The mean response for all nine policy areas was 3.4.

*SATISFACTION is much lower in "Private Liberal Arts Institutions".

*SATISFACTION was significantly higher for "Paid Sabbatical Leaves" (mean rating 3.7).

III. CURRENT INVOLVEMENT with these policies during recent years.

*Chairpersons responded in 3.8 areas with ratings of "3-moderate" or higher. The mean response was 2.3.

*INVOLVEMENT was generally lower in "Private Institutions" (except "Comprehensive Schools") and generally higher in "Comprehensive Schools".

*INVOLVEMENT was significantly lower in "Production/Use of Education Materials" (mean rating 1.9) and "Patents and Inventions" (mean rating 1.9); and significantly higher in "Continuing Education/Extension" (mean rating 2.8) and "Paid Sabbatical Leaves" (mean rating 3.1).

IV. FUTURE INVOLVEMENT with policies is likely to be ...

*Chairpersons responded in 4.6 areas with ratings of "3-moderate" or higher. The mean response was 2.8.

*FUTURE INVOLVEMENT was significantly lower in "Private Institutions" (except "Comprehensive Schools").

*Relative to other areas FUTURE INVOLVEMENT is anticipated to be significantly lower in "Patents and Inventions" (mean rating 2.3); and significantly higher in "Paid Sabbatical Leaves" (mean rating 3.4).

1 - Missing or "NA" responses were excluded from computation of means and statistical analysis involving means.

2 - The number of responses (out of the nine possible), which were "3-moderate" or higher, was computed separately for KNOWLEDGE, SATISFACTION, CURRENT INVOLVEMENT, and FUTURE INVOLVEMENT ratings. These were used to assess overall responses across the nine policy areas. Missing or "NA" responses were not counted as being "3-moderate" or higher.

Table II

Board Function and the Role of the Board in these Functions

What is the role of the board in the following activities? Check "PARTICIPATE" if plans for these activities are initiated, determined or developed by the board, check "APPROVE" if the plans developed by others are actively approved or disapproved by the board.

No. Role	Approve Only	Participate Only	Both Approve & Participate	Function
0%	8%	68%	24%	Appointment of Chief Executive Officer
5	25	56	14	Management of Investments
0	57	22	21	University Budget
0	52	33	14	Major Capital Expenditures
8	46	29	17	General Fund Raising Projects
0	60	25	14	Appointment of Senior Administration
0	71	14	14	Establishment of New Academic Units
3	67	14	16	Personnel/Management Policies
2	73	13	13	Faculty Salary Scales/Increases
3	73	13	11	Employee Benefit Packages
13	70	6	11	Granting Tenure to Faculty
5	81	10	5	Specific Project Grants/Contracts

Table III

Paraphrased Responses to the Question:

"Do you feel that your board could delegate responsibility (including approval/disapproval) to administration/faculty/students"

I. (N=13) Delegate Responsibility in Specific Policy Areas

Internal Load/Overload (4)	Production/Use of Educational Materials (1)
Computer Use/Software (7)	Continuing Education/Extension (1)
Salary Reimbursement (2)	Paid Sabbaticals (1)
External Activities (1)	Conflict of Interest (0)
	Patents & Inventions (0)

II. (N=8) Delegate Considerable Responsibility

Delegate responsibility for all areas (1)
Delegate considerable responsibility (N=4)
Review policies only when deemed necessary by administration (N=1)
Board should be informed of policies (N=1)
Delegate responsibility on educational matters (N=1)

III. (N=14) Delegate Limited Responsibility

Board should actively review all policies (2)
Delegate responsibility for formulation and/or implementation (5)
Board should have considerable student/faculty administration input (6)
Delegate only to persons with appropriate expertise (1)

IV. (N=24) Delegate Little or No Responsibility²

Delegate only responsibility to carry out Board Policies (4)
Delegate none of the responsibility (20)

¹A total of 48 chairpersons (out of 65 respondents) made a total of 59 responses to this question. Number in parenthesis indicate the number making each response.

²An additional 17 respondents left this item blank, perhaps also indicating no desire to delegate responsibility.

APPENDIX I
**SURVEY OF SELECTED CHAIRMEN OF
 COLLEGE/UNIVERSITY TRUSTEE BOARDS**

"Ethical and Economic Issues: Trustee Interest and Involvement in Academic Policies for Faculty Consulting, Overload Teaching and Intellectual Property Rights."

On the basis of our previous research, we have selected the following nine policy areas as being of principal interest. Each broad area is really a collection of more specific inter-related policy questions. For each of the nine policy areas we are asking four questions: 1) is your board knowledgeable about your institution's policies/practices (KNOWLEDGE), 2) the degree of satisfaction with existing policies/practices (SATISFACTION), 3) the board's current/past involvement in setting existing policies/practices (CURRENT/PAST INVOLVEMENT), and 4) your projection of the board's future involvement (FUTURE INVOLVEMENT). For each question, try to answer from the perspective of your Board of Trustees. As indicated in our cover letter, your responses will remain strictly confidential. Neither your name nor the name of your institution will be connected to any of your responses.

For each of the nine policy areas please answer the following four questions.

KNOWLEDGE: Your board's KNOWLEDGE of the actual policies/practices at your institution is:

SATISFACTION: Your board's SATISFACTION with existing policies/practices at your institution is: (leave blank if you do not know what policies/practices are in one of the policy areas)

CURRENT INVOLVEMENT: The board's INVOLVEMENT during recent years has been:

FUTURE INVOLVEMENT: The board's FUTURE INVOLVEMENT in determining policies/practices is likely to be:

Put your response to each question, using the following response scale, in the boxes next to each policy area.

1 2 3 4 5 NA
 VERY LITTLE MODERATE EXTENSIVE Not appropriate
 (or none)

**ANTICIPATED
 INVOLVEMENT
 CHANGE**

KNOWLEDGE SATISFACTION CURRENT INVOLVE FUTURE INVOLVE

GENERAL POLICY/PRACTICE AREAS (each of the nine areas has been delineated by some of the key policy questions which might fall into it)

+ .52*	2.9	3.5	-2.4	3.0	INTERNAL LOAD AND OVERLOAD: Is load specifically defined in terms of teaching and/or other activities? What institutional activities (internal consulting, additional teaching, research, curriculum development, administrative functions, etc.) are compensated with overload salary during academic year/summer?
Hi (58)	(63)	(57)	(63)	(58)	
+ .33	2.6	3.5	2.3	2.6	EXTERNAL ACTIVITIES: Are limits specified on time spent and/or salary earned for external activities (consulting, teaching at another institution, part-time employment) during the academic year?/summer months?
(58)	(63)	(57)	(64)	(58)	
+ .57*	2.9	3.3	2.3	3.0	CONFLICT OF INTEREST: Is there a clear statement of what "professional ethics" are expected? What "disclosure" of potential conflicts is required? Do faculty give "expert testimony" in areas which may give the appearance of a conflict with their industrial consulting? Do faculty serve as directors/principals in organizations doing business with the university?
Hi (55)	(57)	(49)	(59)	(55)	
+ .60*	2.2*	3.1	1.9*	2.6*	PRODUCTION/USE OF EDUCATION MATERIALS: Do faculty share royalties from textbooks written on university time and/or required in university courses? What university resources (office, library, computer, staff, etc.) can faculty use for development of materials which may result in personal financial gain? Who receives benefits from or owns non-textbook materials produced using some university resources?
Hi (52)	Lo (57)	(47)	Lo (57)	Lo (52)	

in () refer to the no. (out of 65) of responses. Missing values generally indicate that respondents felt the item was not appropriate or not known.

* - Indicates that mean rating differs significantly from the mean ratings of the other eight policy areas.

ANTICIPATED INVOLVEMENT CHANGE

KNOWLEDGE SATISFACTION CURRENT INVOLVE FUTURE INVOLVE GENERAL POLICY/PRACTICE AREAS

+ .26 (42)	2.5 (48)	3.1 (38)	2.0 Lo (47)	2.3 Lo (42)	PATENTS AND INVENTIONS: Who owns patents developed with university resources? What royalty sharing is specified between university and inventor? Are there policies concerning patents developed by faculty while consulting for external organizations?
+ .19* Lo (53)	3.3* Hi (57)	3.5 (53)	2.8* Hi (58)	3.1 (53)	CONTINUING EDUCATION/EXTENSION: Are courses taught by regular faculty, outside instructors or a combination? Is teaching compensated with overload salary and regulated by the same policies as other overload activities? Is this instruction recognized as a contribution to the university? Can faculty teach related materials for a competing program at another institution?
+ .31 (48)	2.6 (55)	3.2 (48)	2.3 (54)	2.8 (49)	SALARY REIMBURSEMENT FOR EXTERNALLY FUNDED PROJECTS: Is there policy for charging grants/contracts for faculty time during academic year/during summer? Is the use of recovered funds specified (faculty replacement, general funds, departmental funds)? Do policies vary for different sponsors (industry, government, foundations)?
+ .25 (57)	3.7* Hi (59)	3.7* Hi (57)	3.1* Hi (60)	3.4* Hi (57)	PAID SABBATICAL LEAVES: Is prior approval of sabbatical plan required and what is the basis of approval? Can faculty accept outside salary and how is the university's contribution adjusted?
+ .38 (50)	2.6 (53)	3.3 (44)	2.3 (55)	2.9 (50)	COMPUTER USE AND SOFTWARE PRODUCTS: Is there clear policy on obtaining/using computer time, and whether it is paid for by external grants/projects or by the institution's resources? Who owns and has market rights to computer programs (software) developed by faculty/staff with some university resources? Does policy cover use of university computer facility for personal financial gain (external consulting, etc.) by faculty staff?

Average across all nine areas

2.80

3.31

2.34

2.81

(no. of responses may be 65+ since one person may make several responses)

OPEN-ENDED QUESTIONS

Please briefly describe any specific policy problems related to our study which have arisen at your institution. (Please identify the general policy area--using the list on the previous page-- and then describe the specific problem.)

Internal Load/Overload 6
External Activities 3
Conflict of Interest 3
Prod./Use of Ed.Mater. 0
Patents and Inventions 0
Continuing Ed./Extension 3

Salary Reimbursement 0
Paid Sabbatical Leave 2
Computer Use & Software 0
Other General Comments 5
None (or left blank) 47 (of 65)

Please briefly describe any particularly successful policies related to our study which you have developed at your institution. (Please identify the general policy area -- using the list on the previous page -- and then describe the specific policy.)

Internal Load/Overload 5
External Activities 3
Conflict of Interest 2
Prod./Use of Ed. Mater. 0
Patents and Inventions 3
Continuing Ed./Extension 3

Salary Reimbursement 1
Paid Sabbatical Leave 2
Computer Use & Software 1
Other General Comments 3
None (or left blank) 45 (of 65)

- please continue on next page -

(see TABLE TWO)

Do you feel that your board should delegate responsibility (including approval/disapproval of recommended policies/practices) to administration/faculty/students for any of the policy/practice areas considered in this study? If so, please indicate the policy area and explain why responsibility should be delegated.

If you feel that there is any other broad policy area which should have been included in our study, please identify it along with the key policy questions.

Tenure/Promotion	5	Presidential Powers	1	Duplication of Ed. Prog.	1
Gov't Relationships	2	Evaluation	1	None (or left blank)	54
Athletics	1	Student Fees	1		
Academic Freedom	1	Student Government	1		

BACKGROUND/DEMOGRAPHIC INFORMATION

How long have you served as a member or chairman of the board? 9.0 Years 3 Months

On the average, how many hours per week do you spend fulfilling your role as board chairman? 6.6 Hours per Week

BOARD FUNCTIONS: What is the role of the board in the following activities? Put a check under the column "PARTICIPATE" if the plans for these activities are initiated, determined, or developed by the board, check "APPROVE" if the plans of others are actively approved or disapproved by the board.

(see TABLE THREE)

PARTICIPATE	APPROVE	PARTICIPATE	APPROVE
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Fund Raising Projects (General)		Appointment of Chief Executive Officer
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Specific Project Grants/Contracts		Appointment of Senior Administrators
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Major Capital Expenditures		Establishment of New Academic Units
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	University Budget		Granting of Tenure to Faculty
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Faculty Salary Scales/Increases		Management of Investments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Employee Benefit Packages		Personnel/Management Policies

What other major activities does your board either participate in or approve?

Establish Long Range Plans	4	Apt. New Board Members	2	Other Comments	13
None	3	Evaluate Management	2	Blank (no response)	45
Award Honorary Degrees	2	Student Life	2		

Thank you for your cooperation. Please return the completed survey in the enclosed envelope.

For further inquiries, contact: Dr. Herbert W. Marsh, Office of Institutional Studies, University of Southern California, Los Angeles, California, 90007. Telephone: (213) 741-6503



APPENDIX II

Number Sampled and Response Rates for Each Cell of Sampling Matrix

CLASSIFICATION	No. of Institutions in 1973 Carnegie Report	No. of Institutions Sampled	No. (%) Completing the Survey	No. (%) Returning Postcard Indicating Lack of Relevancy/ Knowledge	No. (%) Returning Postcard Indicating Lack of Willingness/ Time to Complete Sur.	TOTAL NO. (%) RESPONDING
1. Research & Doctoral Granting Universities						
Public	108	31	11(35%)	1(3%)	1(3%)	13(42%)
Private	65	35	7(20%)	-	1(3%)	8(23%)
Total	173	66	18(27%)	1(2%)	2(3%)	21(32%)
2. Comprehensive University/College						
Public	308	14	6(43%)	-	1(7%)	7(50%)
Private	145	15	4(27%)	2(13%)	1(7%)	7(47%)
Total	453	29	10(36%)	2(7%)	2(7%)	14(48%)
3. Liberal Arts Colleges						
Public	28	4	2(50%)	1(25%)	-	3(75%)
Private	691	25	16(64%)	-	-	16(64%)
Total	719	29	18(62%)	1(3%)	-	19(66%)
4. Two-Year/Community Colleges						
Public	805	14	4(29%)	2(14%)	1(7%)	7(50%)
Private	256	10	4(40%)	-	2(20%)	6(60%)
Total	1061	24	8(33%)	2(8%)	3(13%)	13(54%)
5. Special						
Public	64	4	2(50%)	-	-	2(50%)
Private	357	15	5(33%)	-	1(7%)	6(40%)
Total	421	19	7(37%)	-	1(5%)	8(42%)
6. Multi-Campus Systems						
	-	9	4(44%)	-	1(11%)	5(56%)
TOTAL (across all classifications)						
Public	1313	76	29	4(5%)	4(5%)	37(49%)
Private	1514	100	36	2(2%)	5(5%)	43(43%)
Total	2827	176	66(38%) ¹	6(3%)	9(5%)	81(46%)

1 - one chairperson returned a survey with no identification.