

NOTES

PREFACE

1. A. Bartlett Giamatti, *A Free and Ordered Space: The Real World of the University* (New York, NY: W. W. Norton and Company, 1988), 17.

2. Ironically, this austere and detached fortress of a building was named after one of Michigan's most respected presidents, Robben Fleming, and his wife, Sally, who used extraordinary diplomatic skill and a strong sympathy for student concerns to calm the campus disruptions of the 1960s and 1970s.

CHAPTER I

1. Burton R. Clark, *The Distinctive College: Antioch, Reed, and Swarthmore* (Chicago: Aldine, 1970), 235.

2. Clark, *Distinctive College*, 235.

3. Also deserving of mention here are a bevy of candidates, including Gary Hart, Jerry Brown, Paul Tsongas, Dick Cheney, Joe Lieberman, Howard Dean, and John Kerry. See also Warren Goldstein, "The Yale Candidates," *Yale Alumni Magazine*, May/June 2004, 46–53.

4. Roger Heyns, private communication with the author, 1992.

5. Clark, *Distinctive College*, 235.

6. Northwest Ordinance, Article 3., printed in F. N. Thorpe, ed., *The Federal and State Constitutions, Colonial Charters, and Other Organic Laws* (Washington, DC: U.S. Government Printing Office, 1909), 957.

7. Richard Rees Price, "The University of Michigan: Its Origin and Development," *Harvard Bulletin in Education* 3 (January 1923).

8. The majority of the university's students were from out of state until the baby boom surge in Michigan enrollments following World War II. After a brief

rise in the proportion of in-state students during the early 1980s, the university today has returned to its more traditional ratio of 40 percent of undergraduate and 70 percent of graduate and professional students drawn from out of state.

9. Howard H. Peckham, *The Making of the University of Michigan 1817–1992*, ed. and updated by Margaret L. Steneck and Nicholas H. Steneck (Ann Arbor: University of Michigan Bentley Historical Library, 1994), 37.

10. Andrew D. White later became the founding president of Cornell University. Charles Adams also served as president of Cornell, as have three other members of the Michigan faculty (Ezra Day, Frank Rhodes, and Jeffrey Lehmann).

11. Peckham, *Making of the University of Michigan*, 39.

12. The *Harper's* article continued: "Students are allowed the widest freedom consistent with sound scholarship in pursuing the studies of their choice; they are held to no minute police regulation, but are treated as persons with high and definite aims from which they are not easily to be diverted. No religious tests are imposed, but devotional exercises are held at stated times, which no one is compelled to attend against his choice, though all are welcome. Women are admitted to all departments on equal terms with men; the doors of the University are open to all applicants who are properly qualified, from whatever part of the world they may come" (*Harper's Weekly*, July 1887, quoted in Peckham, *Making of the University of Michigan*, 95).

13. Clark Kerr, *Troubled Times for American Higher Education: The 1990s and Beyond*, SUNY Series, Frontiers in Education (Albany, NY: SUNY Press, 1993), 173.

14. Peckham, 96.

15. Frederick Rudolph, *The American College and University: A History* (Athens: University of Georgia Press, 1962), 277.

16. Rudolph, 269.

17. Peckham, 53.

18. Technically, John Monteith, a Scottish Presbyterian minister, was selected as Michigan's first president in 1817, when the territorial government formed the Catholespistemead or University of Michigania. But since this was, in reality, a system of public education in which college-level instruction would not occur for another two decades, it is understandable that Tappan would be regarded as Michigan's first true president.

19. Paul E. Lingenfelter, "The Firing of Henry Philip Tappan, University Builder" (master's thesis, University of Michigan, 1970), 8.

20. Peckham, *Making of the University of Michigan*, 56.

21. Rudolph, *American College and University*, 282–83.

22. Charles M. Perry, *Henry Philip Tappan: Philosopher and University President* (Ann Arbor: University of Michigan Press, 1933), 274.

23. Peckham, *Making of the University of Michigan*, 85.

24. Walter Byers, *Unsportsmanlike Conduct: Exploiting College Athletes* (Ann Arbor: University of Michigan Press, 1998), 37.

25. Rudolph, *American College and University*, 269.
26. Peckham, *Making of the University of Michigan*, 155.
27. Peckham, *Making of the University of Michigan*, 193.
28. Peckham, *Making of the University of Michigan*, 323.
29. Derek Bok, private communication with the author, 1985.
30. This distinction among the frontier analogies of trailblazer, pioneer, and settler was taken from a presentation by Dr. Cherry Pancake concerning the future of cyberinfrastructure in scientific research at the National Science Foundation in 2004.

CHAPTER 2

1. In the state of Texas, however, the campus CEO is called “president” and the system CEO “chancellor.”
2. Stephen James Nelson, *Leaders in the Crucible: The Moral Voice of College Presidents* (Westport, CT: Bergin and Garvey, 2000)
3. Perhaps because of the high-tech nature of California’s economy, eight of that state’s nine leaders of research universities in the Association of American Universities come with backgrounds in science or engineering.
4. As Michigan president, I would later lead five Michigan expeditions to the Rose Bowl. I used to be introduced at Pasadena Rose Bowl functions as “Caltech’s ultimate Rose Bowl prank,” a former Caltech student who would later lead doomed football teams from the Big Ten into battle in Pasadena. (Actually my record was two wins versus three losses—not bad for those days.)
5. The Academic Affairs Advisory Committee of the Senate Assembly was sometimes known as the “little aaac” to distinguish it from the Academic Affairs Advisory Council (the big “AAAC”) comprised of the deans. Much later, this confusion was rectified by renaming the committee the Provost’s Advisory Group, or PAG. However, to keep things simple, I use “AAAC” in this book.
6. James J. Duderstadt, *On the Move: A Personal History of the University of Michigan’s College of Engineering* (Ann Arbor: University of Michigan, Millennium Project, 2003), 50–53.
7. Larry Downs and Chunka Mui, *Killer App* (Cambridge, MA: Harvard Business School Press, 1998).
8. Thomas S. Kuhn, *The Nature of Scientific Revolution* (Chicago: University of Chicago Press, 1962).
9. Although Michigan had never selected an engineer for a university leadership position, it is interesting to note that President Angell had practiced civil engineering early in his career. Brown University actually offered him a choice of an appointment in civil engineering or literature; he chose the latter.

CHAPTER 3

1. Peter T. Flawn, *A Primer for University Presidents: Managing the Modern University* (Austin: University of Texas Press, 1990), 23.

2. Michigan's longest-serving president, James Angell, received a letter from the secretary of the board of regents advising that he was their second choice and that should their first choice decline the offer, he would be invited to be president.

3. Vartan Gregorian, *The Road to Home: My Life and Times* (New York: Simon and Schuster, 2003), 308–9.

4. It is amusing to note that my persistent stress on these themes would pre-date by almost two decades the high visibility given to them by such recent books as Thomas L. Friedman's *The World Is Flat: A Brief History of the Twenty-First Century* (New York: Farrar, Straus, and Giroux, 2005) and the National Academies' *Rising above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future* (Washington, DC: National Academies Press, 2005)—perhaps another sign of being too far ahead of one's time.

5. "A Chronicle Survey: What Presidents Think," *Chronicle of Higher Education*, Special Report, November 4, 2005, A26.

6. Here, I would define a university president as a "pro" if he or she has served as leader of three or more university campuses.

7. Derek Bok, "Are Huge Presidential Salaries Bad for Colleges?" *Chronicle of Higher Education*, November 22, 2002. See also Derek Bok, *Universities in the Marketplace: The Commercialization of Higher Education* (Princeton, NJ: Princeton University Press, 2003).

CHAPTER 4

1. Nannerl O. Keohane, "More Power to the President?" in *The Presidency* (Washington, DC: American Council on Education, 1998), 12–18.

2. K. E. Weick, "Educational Organizations as Loosely Coupled Systems," *Administrative Science Quarterly* 21 (1976): 1–19.

3. Lao Tzu, *Tao Ten Ching*, trans. John C. H. Wu (New York: St. John's University Press, 1961).

4. *AGB Task Force on the State of the Presidency in American Higher Education, The Leadership Imperative* (Washington, DC: Association of Governing Boards, 2006).

5. Flawn, *Primer for University Presidents*, 23.

6. Theodore Roosevelt, *The Strenuous Life: Essays and Addresses* (New York: Kessing Publishers, 1904), 2–3.

7. Donald Kennedy, "Making Choices in the Research University," *Daedalus* 122, no. 4 (1993): 127–56; Robert Birnbaum, *How Academic Leadership Works: Understanding Success and Failure in the College Presidency* (San Francisco: Jossey-Bass, 1992); Keohane, "More Power to the President?"

CHAPTER 5

1. There is an old saying at Michigan that each president is allowed only three provosts, after which he or she must step down as well. This experience

seems to have held for many years (at least for each of the presidents serving during the last half of the twentieth century, through Fleming, Shapiro, me, and Bollinger).

2. One of the signs of the strength of this leadership philosophy of attracting the best people, providing them with the encouragement and support to push to the limits of their ability, and then getting out of their way is the number of Michigan executive officers and deans who went on to university presidencies. The Michigan offspring who served in the administration during my decade as university provost and president illustrates this “school for presidents” tradition:

Niara Sudarkasa, president, Lincoln University

Linda Wilson, president, Radcliffe College

Jim Crowfoot, president, Antioch College

Chuck Vest, president, Massachusetts Institute of Technology

Bernie Machen, president, University of Utah at University of Florida

Walt Harrison, president, University of Hartford

Maureen Hartford, president, Meredith College

Blenda Wilson, chancellor, California State University at Northridge

Jim Renick, chancellor, North Carolina Agricultural and Technical State University

Nancy Cantor, chancellor, University of Illinois and Syracuse University

Jeff Lehmann, president, Cornell University

Lee Bollinger, president, University of Michigan and Columbia University

Joe White, president, University of Illinois

Robert Weisbuch, president, Drew University

3. Harold T. Shapiro, “University Presidents—Then and Now,” in *Universities and Their Leadership*, ed. William G. Bowen and Harold T. Shapiro (Princeton, NJ: Princeton University Press, 1998), 70.

4. For an important case study, consider the difficulties that the University of California experienced over executive compensation during 2005–6, which brought the institution to a crisis point; “Report of the Task Force on UC Compensation, Accountability, and Transparency” (Oakland: University of California Board of Regents, 2006).

5. We contemplated an even more ambitious goal to build endowment to a level such that endowment income would exceed our state appropriation by 2010. This \$10 billion target seemed formidable but well within reach, considering that we had increased endowment from \$250 million to \$2.5 billion from 1988 to 1996. Although the dot-com collapse of the late 1990s and a loss of momentum in university fund-raising in the late 1990s slowed the growth of endowment temporar-

ily, recent efforts by Mary Sue Coleman and her development team have put the university back on track to achieve this goal by 2010.

6. Winston Churchill, Speech to House of Commons, October 28, 1943.

7. This is Pentagon parlance for “Defense Condition 3,” a serious level of preparation for defense against a thermonuclear attack.

8. For example, at Michigan, presidents attempting to reorganize the Medical Center have usually encountered a firestorm of opposition from those schools that might be threatened by new reporting arrangements (e.g., medicine, nursing, dentistry, public health, and pharmacy). Here, I offer an important word to the wise: always beware of regents just after their annual physical checkup at the university medical center.

CHAPTER 6

1. Howard H. Peckham, *The Making of the University of Michigan, 1817–1992* (Ann Arbor: University of Michigan Press, 1994), 40.

2. Edward A. Krug, ed., *Charles W. Eliot and Popular Education*, Classics in Education, vol. 8 (New York: Teachers College, Columbia University, 1961).

3. John Henry Newman, *The Idea of a University* (New Haven, CT: Yale University Press, 1996; 1st ed., New York: Longman, Green, 1899); Henry Philip Tappan, *University Education* (New York: George P. Putnam, 1851).

4. Faculty soon began to refer to the funding directed toward rebuilding the strength of the sciences at Michigan as “duder-dollars.”

5. While president, I once joined with my colleagues from Stanford University and Columbia University to meet with James Fallows, then editor of *U.S. News and World Report*, to point out the many fallacies in the rankings. He agreed, but he also acknowledged that the importance of the rankings to the magazine’s financial bottom line made it highly unlikely that they would disappear.

6. I later learned that the Medical School had a full-time clerk whose sole assignment was to crank out their promotion casebooks, with the belief that if they were not approved the first time through, they certainly would be on a subsequent try.

7. Memorandum from Provost to Dean of Medicine, February 15, 1987.

8. Burton R. Clark, *Creating Entrepreneurial Universities: Organizational Pathways of Transformation* (Surrey: Pergamon, 1998).

9. R. S. Lowen, *Creating the Cold War University: The Transformation of Stanford* (Berkeley: University of California Press, 1997).

10. In this spirit, the deans gave the name *Leonardo’s* to the coffee shop on the university’s North Campus.

CHAPTER 7

1. A. Bartlett Giamatti, *A Free and Ordered Space*.

2. In 2000, after a redistricting led by the Republican legislature, Congress-

man Dingell found himself representing a district containing Ann Arbor, a very sharp contrast to the labor-dominated district that he had represented for over 40 years. To his credit, he has worked quite hard to understand the bizarre politics of a university town and continues to be the senior member of the House.

3. During my presidency, I insisted that this silly practice be terminated.
4. Gary Owens, former Speaker of the Michigan House of Representatives, private communication with the author, 1992.
5. This team included the late Richard Kennedy (long-standing vice president for state relations), Ralph Nichols (who tragically passed away early in my tenure), Keith Molin, and Roberta Palmer.
6. Each fall, one of Ann Arbor's mayors, Ingrid Sheldon, and I would have a pie-baking contest in which we would exchange apple pies we produced.
7. John Immerwahr, *The Price of Admission: The Growing Importance of Higher Education* (Washington, DC: National Center for Public Policy and Higher Education, 1998).
8. John Immerwahr, *Taking Responsibility: Leaders' Expectations of Higher Education* (Washington, DC: National Center for Public Policy and Higher Education, 1999).
9. Shapiro, "University Presidents," 67.
10. Richard T. Ingram, *Transforming Public Trusteeship*, Public Policy Paper Series (Washington, DC: Association of Governing Boards of Universities and Colleges, 1998).

CHAPTER 8

1. Nelson, *Leaders in the Crucible*, 9–11.
2. William H. Honan, "At the Top of the Ivory Tower the Watchword Is Silence," *New York Times*, July 24, 1994.
3. Nelson, *Leaders in the Crucible*, 28–29.
4. Actually, the earliest name for the effort was "The Michigan Plan." But before this name became public, a new chancellor at the University of Wisconsin, Donna Shalala, announced "The Madison Plan," a far less ambitious effort that was aggressively promoted.
5. James J. Duderstadt, *A University for the 21st Century* (Ann Arbor: University of Michigan Press, 2001), 206.
6. James J. Duderstadt Papers (1963–97), Bentley Historical Library, University of Michigan, <http://www.hti.umich.edu/cgi/f/findaid/findaid-idx?c=bhlead&idno=umich-bhl-9811>. See also President (University of Michigan) Records (1967–), Bentley Historical Library, University of Michigan, <http://www.hti.umich.edu/cgi/f/findaid/findaid-idx?c=bhlead&idno=umich-bhl-87274>.
7. *Gratz v. Bollinger*, Docket 02–516, 539 U.S. 244 (2003), Decision: June 23, 2003; *Grutter v. Bollinger*, Docket 02–241, 539 U.S. 306 (2003), Decision: June 23, 2003.

8. Jeffrey Selingo, “Michigan: Who Really Won?” *Chronicle of Higher Education*, January 14, 2005.

9. Richard Atkinson, “Opportunity in a Democratic Society: A National Agenda,” Nancy Cantor Distinguished Lectureship on Intellectual Diversity, University of Michigan, May 18, 2005.

10. James J. Duderstadt, State of the University address, University of Michigan, Ann Arbor, October 15, 1991.

11. The absence of a student disciplinary policy and process left the university with only one recourse to address serious student incidents: for the president to act directly using presidential authority (according to Regental Bylaw 2.03) to sanction the student. I was forced to do this in particularly serious cases, such as when I suspended one of our hockey players after he went into a violent rage and destroyed the furniture in his girlfriend’s sorority house (just before the playoffs for the national championship, much to the chagrin of our hockey coach). But with 36,000 students, it made for an extremely awkward system.

12. Stephen Burd, “Bush’s Next Target?” *Chronicle of Higher Education*, July 11, 2003.

13. Carl Cohen, an eminent university professor of philosophy (and, because of deeply held convictions about the inequity of “racial preference” in admissions, one of the early litigants against the university’s affirmative action policies), put it this way: “President James Duderstadt is a gracious and eloquent representative of the UM. No one who knows him or has occasion to differ with him will deny that he is invariably patient and courteous, that he listens carefully, reasons well, and presents balanced arguments with restraint and grace.” Letter to the Editor, *Ann Arbor News*, March 19, 1996.

14. However, I quickly followed these statements by saying, “I must hasten to add here that they are also run for their students and their society as well!” “The Challenge of Change,” The Presidential Inauguration Address of James Johnson Duderstadt, University of Michigan, Ann Arbor, October 4, 1988.

CHAPTER 9

1. R. C. Heterick, Jr., and C. A. Twigg, “Interpolating the Future,” *Educom Review* 32, no. 1 (1997).

2. Eamon Kelly, presentation to the American Association of Universities, Indiana University, October 24, 1994.

3. C. K. Prahalad and Gary Hamel, *Competing for the Future* (Cambridge, MA: Harvard Business School Press, 1996).

4. The transformation documents can be found on the Millennium Project Web site, <http://milproj.dc.umich.edu>.

5. James J. Duderstadt, *A Case Study in University Transformation: Positioning the University of Michigan for the New Millennium* (Ann Arbor: University of Michigan, Millennium Project, 1999), <http://milproj.dc.umich.edu/publications/strategy>.

6. Robert Zemsky and Gregory Wegner, “A Very Public Agenda,” *Policy Perspectives* 8, no. 2 (1998).

CHAPTER IO

1. At Yale University, Rick and Jane Levin took the brilliant step of “giving” the President’s House back to the university for full-time entertaining, noting that while people want to be entertained in the facility, some are irritated that the president should live in such a mansion. Hence, the Levins live in their own house and are perceived as visitors to the President’s House for the events they host. This arrangement has apparently been well received by the Yale community.

CHAPTER II

1. Frank H. T. Rhodes, *The Creation of the Future: The Role of the American University* (Ithaca, NY: Cornell University Press, 2001), 137–39. Rhodes is the former president of the first of the nation’s truly public-private hybrids, Cornell University.

2. Werner Z. Hirsch and Luc E. Weber, eds., *Challenges Facing Higher Education at the Millennium* (Phoenix: Oryx Press, 1999), 177–82.

3. Thomas J. Kane and Peter R. Orzag, “Funding Restrictions at Public Universities: Effects and Policy Implications” (working paper, Brookings Institution, Washington, DC, September 2003).

4. David Breneman, *Are the States and Public Higher Education Striking a New Bargain?* Public Policy Paper Series (Washington, DC: Association of Governing Boards and Colleges, 2005).

5. At Michigan, as at most public universities, both legislators and the public at large have little understanding of just who pays for the operation of public universities. One of my colleagues, the president of a major public university, once told me that in a legislative hearing, the chairman of the higher education appropriations committee suggested that the university’s football team was generating so much income that surely it could pick up some of the support of the academic programs during hard times. He was incredulous when the president pointed out that the entire revenue of the athletic program was less than 2 percent of the university’s operating budget.

6. For considerably more detail on this frustrating subject, see James J. Duderstadt, *Intercollegiate Athletics and the American University: A University President’s Perspective* (Ann Arbor: University of Michigan Press, 2000).

7. Bill Pennington, “Unusual Alliance Forming to Rein in College Sports,” *New York Times*, January 17, 2003, C21–C24.

8. Julie Basinger and Welch Suggs, “Trustee Group Plans to Join with Faculty Senates in Bid to Change College Sports,” *Chronicle of Higher Education*, January 31, 2003.

9. In a confidential survey of UM deans and executive officers in the 1990s,

there was a unanimous consensus that the most serious challenge facing the university was the increasing politicization of its board of regents. They further suggested that the primary responsibility of the president and the executive officers must become that of protecting the university from its own governing board. This same view characterized many other public universities throughout the state. In a meeting with the senior editor of one of the state's leading newspapers early in my presidency, I was warned that my most difficult challenge would be that of preventing politics of the board from harming the university.

10. Keohane, "More Power to the President?"

11. National Commission on the Academic Presidency, *Renewing the Academic Presidency: Stronger Leadership for Tougher Times* (Washington, DC: Association of Governing Boards of Colleges and Universities, 1996; reprint, 2006).

CHAPTER 12

1. Wilfred B. Shaw, ed., *The University of Michigan: An Encyclopedic Survey*, vol. 1 (Ann Arbor: University of Michigan Press, 1942), 57–58.

2. It is worth noting here that his wife had refused to accompany him to Michigan. Little eventually hired a Michigan regent to act as his attorney in suing her for 14 years of desertion.

3. Peter E. Vandewater, *Alexander Grant Ruthven: Biography of a University President* (Grand Rapids, MI: Wm. B. Eerdman Publishing, 1977), 243.

4. Robben Fleming, private communication with the author, 1988.

5. *Ibid.*

6. James J. Duderstadt, confidential letter to the Board of Regents of the University of Michigan, September 28, 1995.

7. One of the more thoughtful editorials was that of noted historian Jim Tobin, then a reporter for the *Detroit News*: "In a sense, Duderstadt was a major corporate executive, juggling a multibillion dollar budget and overseeing a gigantic work force. Yet unlike CEOs, he had to answer to many masters, university regents, state legislators, powerful alumni, even deans and faculty. That frustration—enormous pressures combined with limited authority—may be the toughest burden university presidents bear according to experts in higher education. Governor Engler maintained, 'It became an issue of Jim Duderstadt not getting a passing grade in the care and feeding of regents—everything from which box they get at University of Michigan football games to how they're being recognized at university events to how much stature they can have as regents'; James Tobin, "Duderstadt Kept a Frantic Pace," *Detroit News*, September 29, 1995.

8. J. Duderstadt, *University for the 21st Century*; J. Duderstadt, *Intercollegiate Athletics and the American University*; J. Duderstadt, *Positioning the University of Michigan*; James J. Duderstadt and Farris W. Womack, *The Future of the Public University in America: Beyond the Crossroads* (Baltimore, MD: Johns Hopkins University Press, 2002); James J. Duderstadt, Daniel E. Atkins, and Douglas Van

Houweling, *Higher Education Faces the Digital Age: Technology Issues and Strategies for American Colleges and Universities* (Westport, CT: Praeger Publishers; Washington, DC: American Council on Education, 2002); James J. Duderstadt and Luc E. Weber, eds., *Reinventing the Research University* (London: Economica, 2004).

9. Anne Duderstadt, *A Pictorial History of the College of Engineering of the University of Michigan* (Ann Arbor: University of Michigan, Millennium Project, 2003); J. Duderstadt, *On the Move*; Anne Duderstadt, *The Michigan Saga: A Pictorial History* (Ann Arbor: University of Michigan, Millennium Project, 2006).

10. Clark Kerr, *The Uses of the University*, 5th ed. (Cambridge: Harvard University Press, 2001), 115.

11. Susanne Lohmann, Meeting of the National Academics IT Forum with the Provosts of the Association of American Universities, Beckman Center, Irvine, CA, September 9, 2003.

12. Niccolo Machiavelli, *The Prince: Utopia, Ninety-Five Theses*, Harvard Classics, Part 36, ed. Charles W. Eliot (New York: P. F. Collier and Sons, 1910), 53.