

MUSICAL CHAIRS

**A Management Handbook for Music Executives
in Higher Education**



**Fredrick Miller, Robert J. Werner, William Hipp
Editors**

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Contents

Preface

- I Leadership and the Music Executive
Frederick Miller
- II Responsibilities of the Music Executive
Frederick Miller
- III Music Executives and Organizations
Samuel Hope
- IV Planning in the Music Unit
Frederick Miller and Robert J. Werner
- V Enrollment Management
Jo Faulmann and Richard Kennell
- VI Music Curriculum
Robert J. Werner
- VII The Music Budget
John J. Deal
- VIII Personnel and Legal Issues
Joyce Fecske and Joan Gale
- IX Music Facilities, Architecture, and Planning
Michael Howard
- X Music Building Acoustics
Charles Bonner
- XI Instruments and Equipment
Nicholas DeCarbo
- XII Technology and the Music Unit
Donald Casey
- XIII Fund-raising in the Music Unit
William Hipp
- XIV Special Issues in Smaller Music Units
Jo Ann Domb
- XV The Role of Community Music Programs in the Context of the Music Unit
Michael Yaffe

Preface

The concept for this volume came from Fred Miller. For many years, during his deanship of the DePaul University School of Music, he and his able staff conducted Management Workshops for Music Executives in Higher Education, which still continue. Over the years many of those recently appointed, those changing responsibilities, and those considering administration participated in these workshops. The topics discussed in the chapters presented here represent a similar set of areas of responsibility that participants found useful as they experienced the challenges of being a music executive.

Since most, if not all, music executives come from the faculty and often have little or no background in administration, these chapters are intended to share the extensive experience of the authors in these areas in order to assist in the successful administration of a music unit. No matter what one's title—dean, director, chair, or head—and regardless of the size of the institution, the same responsibilities must be addressed. The information provided is intended to be straightforward, clear, and practical so as to provide tested guidance for administrators.

When Fred's health made realization of this book more difficult, he approached us to join him as editors. After his untimely passing, this project became dedicated to a friend and colleague in remembrance of his highly respected career as a leader in the profession. In his presentations Fred often quoted George Keller, who said: "Good administrators see that things get done right; good managers see that the right things get done." Knowing how and when to be both truly describes his administrative career, and we hope that this publication will be helpful to those who are pursuing or considering a position of leadership in the field.

We are greatly indebted to the authors represented by these chapters. Each gave freely of their time and expertise to address these topics. Several were colleagues of Fred's and were pleased to take part when he asked them to contribute to this undertaking. All realized that the size and missions of music units throughout the United States vary considerably, and as such they tried to present approaches that can be considered and adopted by music executives in units of all sizes, from two-year colleges to comprehensive universities. We know that there are publications regarding general administration, as well as articles and presentations that discuss the various aspects of being a music executive, but to our knowledge no one source presents this comprehensive an overview for this constituency. Therefore, all were aware of the challenge of writing on such topics so as not to duplicate but rather to reinforce and expand on what is already available.

The intended advantage of this publication is that it brings together these various themes into one volume. Thanks to the flexibility of electronic publishing, the chapters can be accessed in total or individually. Thus, a music executive can seek out specific advice in the areas for which they are responsible.

We appreciate the willingness of the College Music Society to publish this work as one of its many services to its members and the profession. Many among its membership are involved with some aspect of music administration, and others will be called upon in the future. For this reason CMS has had a task force on administration that serves as a resource for the membership in exploring the responsibilities faced by the music executive. This publication aims, then, to further support the mission of this task force.

We are particularly indebted to Lori Seitz Rider for her professional assistance in providing the final editing and formatting of these submissions, bringing them into a

complementary whole. Her patience and dedication to seeing this task to completion was indeed a service to the field and to all who will benefit from this publication.

Robert J. Werner
William Hipp

Chapter I

Leadership and the Music Executive

*Frederick Miller, Dean Emeritus
School of Music, DePaul University*

All of us who are appointed to executive positions in higher education, regardless of our specific responsibilities, have in common the expectation that we will behave in some fashion as leaders. The difficulty is that leaders are not all alike. The qualities and characteristics that we generally associate with leadership are varied and often contrasting. Our purpose here is to examine these variables and consider how they combine with the characteristics of our individual personalities to determine what kind of leader each of us will be. To some extent we can influence these outcomes; in some ways we cannot. Often, it is a matter of degree.

Important among these variables, and basic to understanding leadership, is the distinction between authority and power: Those who prefer a more genteel expression may favor the word “influence” over “power.” Either way, they are not the same. Put simply, authority is given or delegated. Power is assumed or asserted. As an illustration, we can all remember the crusty junior high school study hall teacher, who had the “authority” to control behavior but who seemed powerless to prevent the whizzing of spitballs across the room or passing of notes up and down the rows. Or we may think about the officious, posturing bureaucrat, who becomes a laughable and somewhat pathetic figure by insisting in a bossy way that we do what obviously must be done, and in the only way it can be done. We might say that these people are “in charge” but “not in control.” Most leaders make use of both power and authority. The best ones find a good balance between the two.

The Nature of Administrative Appointments

Some chairs are elected to their positions by the faculty whom they will serve. Occasionally, appointments are made on a rotational basis. This occurs most often in small units, with some or all members of the faculty “taking their turn” for a fixed period of time. In most cases, however, the music chair is appointed by a superior in the reporting line, such as the dean, provost, or president, based on the recommendation or concurrence of the music faculty.

This is a good point at which to introduce the distinction between managerial leadership and administrative leadership. We sometimes use these concepts interchangeably, and the two may at times overlap. Strictly speaking, however, management and administration are not the same thing. The difference has mainly to do with who is setting the agenda. Administration implies responsibilities that are largely fixed, and often includes established procedures for accomplishing them. Management often involves these same things, but it also includes responsibility for planning, setting the agenda, and direction of the unit. The short-term, rotating chair will, almost by definition, be an administrator, and this is appropriate. Career music executives will typically think of themselves as managers and will behave that way. One expert on academic governance has described the difference as

follows: Administrators make sure that things get done right; managers make sure the right things get done. For convenience, when the expression “administrative position” is used here, it generally refers to either an administrative or managerial position.

It is not uncommon for deans, directors, and department chairs to be appointed to terms of specific length—typically three to five years—with the option of being reappointed, following a more or less formal review. Regardless of how the appointments are made, and irrespective of their length, administrative or managerial appointments are rarely, if ever, permanent in the same sense as tenured faculty positions.

This creates a somewhat fragile situation for mid-level administrators in academia who do not also hold tenured faculty positions, because they are responsible both to their superiors in the reporting line and to the tenured faculty whom they serve. It is not unusual for them to be in adversarial positions with one of these parties on behalf of the other. That is, the chair may at one moment be badgering the dean as an advocate for the faculty’s needs, and at other times be the bearer of unwelcome news or the implementer of unpopular policy from the central administration to the faculty.

Not much can be done about this circumstance, other than to recognize that it exists, and to use good judgment in the face of it. This suggests using one’s chips wisely by avoiding the risk of major upset over issues of minor consequence. On the other hand, being overly cautious risks not getting done things that need to be done. It is important also to keep in mind that the measures of success for an administrator are, as a rule, not the same as the criteria for faculty tenure. The time and effort invested in being a successful department chair may reduce the energies needed for strong teaching and research contributions, on which faculty tenure decisions are generally based.

For all of these reasons, it is wise to avoid accepting an administrative position without a tenured faculty position, if possible. This approach is especially critical if one is expected to initiate significant (and perhaps unpopular) change, or to lead a divided faculty, or to direct a program with marginal or inadequate resources. In such cases, it may be possible to negotiate a tenured faculty position along with the administrative appointment.

A case can also be made for the possibility that an administrator with tenure may be more effective than one without it, simply because he or she can risk more and may be taken more seriously by both faculty and upper administration. This may be a good illustration of the “authority vs. power” issue discussed earlier. If two music executives in otherwise similar situations have equal amounts of authority, the one with tenure will almost certainly have greater influence.

Leadership Characteristics and Style

We may sometimes say that a given managerial task needs to be “done with style.” Or we may describe an administrator as having an effective “management style.” Like it or not, all administrators have style, even if that style is bland and ineffective. While some degree of behavior modification may be possible, even desirable in some cases, our individual managerial styles will invariably reflect our personalities. A person who is essentially outgoing, open, and accessible by nature will have difficulty adopting an altogether aloof manner, even though he or she might wish to create a sense of distance from the staff. In addition to the personal traits that each of us brings to our leadership efforts, it is important to develop style characteristics that are appropriate for our specific situation. Happily, there are choices. A managerial style may be more democratic or autocratic. The latter term has a somewhat negative connotation, but an autocratic style, used to the right extent, may be

more appropriate for some situations. Imagine a music program with a large part-time faculty who have little interest in participating in the governance affairs of the unit. A music executive who attempts to lead such a program in a completely democratic way will certainly be frustrated and probably ineffective. Contrast this with the chair whose small, closely knit faculty have a tradition of broad participation in the governance affairs of the department. An excessively autocratic style in this case will certainly be resented and probably will fail. On the question of a choice between an autocratic and a democratic style, there is no absolutely correct answer. The best choice should reflect the situation and should be a matter of degree.

There can be other kinds of excesses. Unfortunately, in some music programs, even fairly large ones, faculty insistence on participation at every level and in every detail of the operation impedes the ability of the music executive to lead the program. Such programs usually do not realize their potential. Situations like this may be caused by insecurity or by divisions within the faculty. They may result from tradition, or perhaps from failure of governance mechanisms to evolve as the program has grown or changed in other significant ways. Whatever the cause, one should attempt to lead such a program with caution, and only with authority and responsibilities of the music executive carefully defined, and with the clear support and backing of the upper administration.

Academic institutions and their component units may have a centralized or decentralized approach to operations. For example, does the music department have the latitude (and the resources) to promote its public performances, or is a centralized public relations unit responsible for all external communications? Does an audiovisual center supply equipment, as needed, to the various units of the institution, or does the music department have its own video cameras and overhead projectors? There may be choices about an appropriate degree of centralization in a large university, in its separate schools and colleges or within individual departments. Again, there are no absolutes; it is simply a matter of what works best. The tradeoffs are that centralized operations tend to be more cost-effective, and therefore may represent the best approach when resources are limited. This assumes, of course, that the centralized service is carried on with competence and dependability. If resources are not an issue, or if the needs of a program are quite specialized, as is often the case in the music unit, the decentralized approach will generally be the happier one.

Advantageous Leadership Qualities

In addition to unique styles that reflect both individual personality traits and local circumstances, other qualities and strengths are typically found among successful leaders. One of these is accessibility. We have all heard people proclaim their ready accessibility with the expression, "My door is always open." Well, the door should not always be open. Being accessible does not mean being immediately available to anyone who arrives at your door unexpectedly. It means being available at the earliest convenience, perhaps at that moment or later in the day, or the next day, depending on the calendar, the urgency of the matter, and how much time may be needed.

One of the first and most useful things to learn as a manager is the importance of maintaining your own agenda. This is not always easy to do, because others will attempt to rearrange your agenda or substitute their own in place of yours. Such efforts imply nothing sinister; rather, busy people who are success-oriented (which could describe most music faculty) want their needs and concerns addressed promptly. The trick is to hold them pleasantly at bay until you can assign their agenda its proper place in your calendar. This

approach is not selfish; it is just good management. As music executives, we have no more valuable resources than time and energy, beginning with our own. They should not be dissipated by constant stopping and starting, which makes it impossible to stay focused on a topic and therefore difficult to get things accomplished in a timely fashion.

Here are some suggestions that will help. Make certain that the telephone is a useful tool—yours—and not a nuisance. Having your calls screened, ideally by a secretary, is beneficial. The expression “May I say who is calling, please” accomplishes this goal politely and effectively. Because we have the natural inclination to “go straight to the top,” people looking for information about the music department (or perhaps about music generally) will often call the music chair first. Sometimes the information can be better provided by the musicologist, or the piano tuner, or the registrar, without distracting the chair from an important task. Even if for no other reason, having the caller introduced provides a brief moment to collect your wits, perhaps anticipate what the caller wants, and have a useful instant to think about an appropriate response. If one does not have the advantage of a receptionist, the use of an answering machine makes it possible to screen calls and then periodically answer them all at a time set aside for that purpose.

Encourage faculty and students to schedule appointments, or at least to inquire whether the present moment is convenient for anything more than a quick question. As with the telephone, having a secretary or receptionist to receive and introduce visitors makes it possible for you to decide if you wish to be interrupted, and to invite that person to schedule an appointment at your earliest convenience so that you can give him or her your undivided attention.

Avoid doing spur-of-the-moment business in corridors or at concerts or social events. It is sometimes unpleasant and often unproductive. If you find yourself impolitely trapped in one of these situations, you can usually become untrapped (and perhaps send a gentle message to the offender) by saying something like, “That sounds like an interesting idea (or a thorny problem, or whatever). Why don’t you find a time soon when it would be convenient for you to come to the office to discuss it?”

It is important both to be accessible and to be *perceived* as accessible. One way to accomplish this is to block into your calendar regular periods of time when you will make appointments. Emergencies are another matter, of course. But reasonable people do not mind scheduling appointments if doing so will not cause unreasonable delays. The quality of the discussion will be better if both parties can give it their full attention, and most people will have greater respect for a calendar that seems to be well organized.

Another important element of good management is clarity. There is an old Navy expression about “the ten percent,” referring to that group who invariably do not get the word, no matter how clearly the information is presented, or how often. The importance of clarity cannot be overstressed. Whether you are composing a memo to the faculty or giving instructions to a student stage manager, keep the information simple and direct. The announcement of a meeting or a request for specific information does not require Pulitzer Prize–worthy prose. Never assume anything when using terms that might not be understood or some frame of reference that may not be shared. Be clear about your expectations, especially those involving deadlines.

Consistency is a much-admired quality of good leaders, and it has two applications. The first is that people to whom you relate should feel that everyone is treated alike. That is, within reasonable limits, one faculty member will be treated pretty much like any other; students will be treated alike; and so forth. This is not to say that one’s manner must be exactly the same for every person or every situation. Some issues may be better addressed in

a climate of good humor; some persons respond better to a more formal relationship; some circumstances may call for a greater degree of firmness. The important thing is that people should be able to expect to be treated fairly and evenly by the music executive. The other part of consistency is the importance of remaining fairly even in one's manner of behavior from day to day. We all have occasional bad days, and it may sometimes help to vent a bit, but people should not have to speculate about what sort of mood the boss is in today.

Persons who become music executives in units in which they have previously served as faculty members may often have well-established friendships among their colleagues. There is no reason why these associations should not continue, so long as they do not intrude into professional relationships and the executive takes care to avoid any hint of favoritism. At the same time, newly appointed executives should not be surprised to discover subtle differences in the way their colleagues relate to them, for example, by assuming a slightly more distant posture.

It may seem that persons with good interpersonal skills must have been born with them; however, even those executives who do not feel that they have this quality should make the effort to develop or improve these skills because they are so valuable to a leader. Being politic is not a negative quality; it does not mean being devious or manipulative. In the best sense, it means being diplomatic, sensitive, and alert to how people feel and how they are likely to react. It means using logic and persuasion to bring others to your point of view, and it often requires a great deal of patience.

Perception is an attribute of good leaders. The ability to grasp a situation, to understand the variable elements, and to imagine the outcomes of various actions are valuable assets. Like good chess players, people who are especially perceptive often can visualize the consequences of a series of actions and plan accordingly. Perception is a critical part of good judgment, and that leads to understanding which among alternative courses is the best one to follow.

Making decisions often involves taking a risk. Knowing when to take a certain amount of risk and when to be cautious is a gift. People who never take risks may not make lots of mistakes, but they also don't usually accomplish much more than maintaining the status quo. On the other hand, riverboat gamblers seldom make good managers. In considering a course of action that involves risk, it is important not only to estimate the likelihood of success or failure but also to consider whether a successful outcome justifies the level of risk involved. In short, how good are the odds? Keeping in mind the distinction made earlier between administrators and managers, it follows that managers will be more inclined to take risk and administrators will tend to be more cautious.

Some Suggestions for Personal Effectiveness

Recognizing that time pressures often make it difficult, if not impossible, to get everything done, it is helpful to develop systems to improve our efficiency. Organizing our calendar is a good illustration of this. Another source of pressure comes from the blizzard of paper that seems always to be swirling around us. Suggestion: Whenever possible, avoid handling the same piece of paper more than once. If it is important, deal with it the first time you touch it, or clearly establish a later time for dealing with it. As we have noted earlier, time may be our most important resource and there is hardly ever enough of it.

Sometimes, when you find it hard to know what to do, the best thing may be to do nothing. We can probably all think of those horrible, explosive problems that reach our desk late on a Friday afternoon, demanding immediate resolution, and yet by Monday morning

they are all but forgotten. This suggestion comes not as a way to avoid confronting difficult issues but simply to say that troublesome issues, if left alone briefly, will sometimes go away or resolve themselves.

We hardly need to make a case for being courteous. It may be worth pointing out, however, that such behavior is contagious and may set the tone for others within the unit. Without question, courtesy and respect among all members of the faculty and staff help to make for a more pleasant work environment, which in turn may heighten efficiency and improve quality.

Finally, because of the ever-present threat of frustration and disappointment, it may be worth pointing out that these two conditions are often misunderstood. Disappointment occurs, let us say, when outcomes do not match up with our hopes; frustration occurs when outcomes do not match up with our expectations. Lofty goals and ambitions are good, but only if they are tempered with realism.

Chapter II

Responsibilities of the Music Executive

*Frederick Miller, Dean Emeritus
School of Music, DePaul University*

Administrative Organization in Academia

In virtually all academic institutions, ultimate authority rests with a governing board, that is, trustees, regents, whatever. As a practical matter, much of the board's authority is delegated to the president, who retains as much as he or she needs to do the job and passes along the rest to the next person in the institutional chain of command, typically the provost. That person, in turn, keeps what is needed for that office and gives the rest to the deans and department chairs in this downward flow of authority in academia.

Whatever title the music executive may hold—dean, chair, and so on—the position will typically be thought of as “middle management.” Others in the academic hierarchy—president, provost, vice presidents—are seen as “upper management,” and as some cynics might view it, hardly anyone is lower than a dean.

However accurate this may be, mid-level administrative positions in higher education possess an unmistakable fragility. It stems from the fact that while we may be tenured in our *faculty* positions, at some professorial rank, we are *not* tenured in our administrative positions. We are positioned in the hierarchy *between* faculty, many or most of whom are tenured in their roles, and the upper administration, who typically are less subject to periodic, formal review. We spend much of our time in adversarial relationships with one of these groups on behalf of the other. That is, we may be pressing the upper administration on behalf of some faculty need. Where the administration wishes to send bad news to the faculty, we get to carry the message. The implication here is simply that those of us who are offered administrative positions should be tenured in our faculty positions. This recommendation holds especially true if we are expected to initiate change, or to deal with a divided faculty or with marginal or inadequate resources. You may be able to negotiate faculty tenure when you are offered an administrative position.

Unique Breadth of the Music Executive's Responsibilities

The old epigram that compares the workloads of men and women might be paraphrased as follows: “Most chairs work from sun to sun, but the music chair's work is never done.” You won't gain friends or sympathy by pointing this out to colleagues across the campus, but few academic disciplines present as lengthy and varied a list of administrative responsibilities as those associated with the music unit. Some of the duties may be shared or delegated, but ultimately they remain the responsibility of the music executive. Advice about how to approach these many tasks will be the subject of later chapters, but the following summary illustrates the breadth of the list.

Academic Responsibilities

Design of the curriculum and development of educational policies lie at the heart of the academic enterprise and therefore play an important role in the life of the music executive. The fact that these tasks are primarily a faculty responsibility, not an administrative one, does not simplify things a great deal. In the arenas of curriculum and policy, the music executive directs the faculty and motivates them to meet their responsibilities for designing and refining curriculum, and also facilitates the work of faculty in these areas. Typically a faculty committee takes on this task, or if the institution has both undergraduate and graduate programs, then often it will be handled by two committees. The responsibilities of such committees include screening new course proposals to avoid duplication and considering their educational and financial viability. Generally, after these issues have been addressed, the committee will recommend approval by the entire music faculty. Definitions and elements of the music curriculum will be addressed in Chapter VI.

Another important academic responsibility of the music executive is student advisement. This task may take the form of advising individual students personally or assigning these responsibilities to faculty advisors, and then following up to make sure that the students are advised effectively. One problem with advising is that all faculty do not bring the same ability or the same level of commitment to the task. Done well, the academic advisement of students involves more than just “signing off” for permission to register each term. Effective advisors monitor the progress of their advisees, not only in their courses but also toward completing degree requirements. Student advisement is generally considered to be a responsibility of faculty, but it is not typically a part of the teaching load. In extreme cases, however, substituting a small increase in the teaching load may be preferable to burdening students with incompetent or uncaring advisement.

Scheduling classes and making teaching assignments is generally the responsibility of the music executive, although in larger units this task is sometimes delegated to program coordinators, whatever their titles might be. Ideally, this process will involve consultation with individual faculty members, and it usually occurs in connection with preparation of the institutional catalog or the published class schedule. The music executive must make certain that all intended courses are scheduled and staffed.

Another important aspect of scheduling is assigning an appropriate time and location for each activity, taking care to avoid, as far as possible, overlapping of classes and rehearsals that might be required of the same student populations. The most successful approach to scheduling seems to be one in which various sizes and kinds of activities are assigned to specific parts of the day. For example, lecture classes, such as music theory and music history, are often scheduled mainly during the morning hours, which are kept free of other activities. Large ensembles are placed in the late afternoon, when most classes are over. Smaller activities, such as chamber music and master classes, fit comfortably in the middle of the day. It is nearly impossible to keep everyone happy with scheduling. Most faculty prefer to avoid early morning and evening classes. On the other hand, not everything can be scheduled for Tuesday and Thursday at 10:00 a.m. Occasionally we find faculty who hate Wednesday because it interferes with both weekends.

The music executive serves, in effect, as the producer of all public performance activities, including student and faculty recitals, ensemble concerts, and guest performances. Related responsibilities include promotion and publicity, management of the facility, for example, appointment and oversight of the ushers, stage managers, and so on, and design and printing

of programs. Some or all of these tasks may be delegated to student workers or to centralized services elsewhere on campus.

While the music executive cannot take sole responsibility for maintaining musical and academic standards, he or she must take the lead in making certain that all faculty share in this responsibility. Critical points for safeguarding standards will be student admissions, juries, and public performances. It is not unreasonable to think of the music executive as the “musical conscience” of the program.

Faculty and Staff

Many believe that the most important long-term responsibility of the music executive is attracting and retaining a superior faculty. Therefore, faculty searches must be carried out with the utmost care, often requiring an enormous amount of time. Responsibility does not end, moreover, with the appointment of a faculty member. The music executive must motivate and encourage all members of the faculty, an activity that generally falls under the heading of “faculty development.” This term encompasses not just the intellectual and professional growth of faculty but especially monitoring the progress of new faculty on their path to tenure. Faculty members who are younger and less experienced often benefit from a mentoring relationship with a senior member of the faculty, who will provide advice and encouragement to help smooth the way. No specific mechanisms exist for establishing such arrangements; rather, the approaches will depend on the chemistry of those involved and will almost always be informal.

Faculty effectiveness is usually measured in three areas: teaching, research and/or creative activity, and service. The amount of weight these three areas receive in connection with reappointment, tenure, and promotion will vary from one campus to another, but generally speaking, teaching and research are weighted somewhat evenly, and both are considered more important than service. For the music executive who may be entering the tenure/promotion process for the first time, it is important to be very clear about how these three areas are prioritized at your particular institution.

Quality of teaching is generally measured by student evaluation and observation by colleagues. In nonperformance areas, such as music theory, music history, and music education, research is usually defined in the traditional sense and includes scholarship and publication. In applied areas, such as performance, conducting, and composition, evaluation will center around the creative activities and their venues. That is, how many performances took place? Where did they occur? How were they judged, by critics and/or others? Service might involve work on committees of the music unit or the institution. It might also include activities within the profession or engagement with the community.

Promotion and tenure are not the only rewards and incentives for faculty, of course. Others might include preferred assignment of courses and sections, preferred scheduling, committee assignments, and so on. There probably is no clearer indication of approval than that which occurs in awarding merit-based salary increases. If an indication of “disapproval” is made, for example, by a lower-than-average salary increase, the music executive should be prepared to explain the reason. Handled skillfully, this discussion can be an opportunity to provide incentive for adjusting behavior or improving an area of performance.

Student-Related Responsibilities

Student recruitment and admission, which will be treated in detail in Chapter V, is obviously a topic of great importance. In ideal circumstances, these responsibilities may be assigned to a staff member, whose title might be coordinator of admissions or something similar. Some of these tasks may be assigned to faculty members. Otherwise, they fall to the music executive. Like many of the most important duties, they can take up many hours.

The nature and importance of academic advisement of students was discussed above. Career counseling and placement services represent another type of advising. These services often take place in a centralized operation, especially in larger institutions. When such a department does not exist, the music executive may expect to invest at least some time with such activities, most likely in informal ways. Some aspects of the quality of student life also fall within the purview of the music executive. Access to and security within practice areas is one example. Another is the emotional well-being of the students. Time demands on music students, who are expected to do everything that other students do, *and then* attend rehearsals and find time to practice, can make them susceptible to stress-related emotional problems. And who must be prepared to deal, at least initially, with such problems? That is right—the music executive.

Managing Resources

By now it is no doubt becoming clear that time is a very important resource of the music executive. Much of it will be spent managing the other three resource categories: human, physical, and financial. We have already noted the music executive's responsibilities related to faculty and staff. Physical resources are of two kinds: facilities and equipment, the latter including instruments. Because of the extent to which they are specially designed and equipped, music spaces—rehearsal and performance areas and some classrooms—are seldom used for nonmusic purposes.

Oversight of these discipline-specific facilities is a somewhat unique responsibility of the music executive. So also is managing the inventories of instruments and equipment, especially keyboard instruments, because of the amount of care they require just for routine adjustments and tuning. Later chapters will address in detail the human and physical resources associated with the music unit. Still another chapter will deal with the development and oversight of the music budget, which tends to be larger than budgets of most similarly sized disciplines because of the special costs of purchasing and maintaining instruments and the costs associated with public performances. Human, physical, and financial resources are mentioned here because managing them requires so much of the music executive's time.

Fund-raising, image enhancement, and public relations generally fall under the term "advancement." Because these activities are often centralized, the extent of the music executive's involvement in development efforts will vary from one institution to another. But even if he or she does not have direct responsibility for these activities, the successful music executive will be sensitive to every aspect of the program that may affect image, whether it may be the professional quality of a performance or the appearance of a promotional document.

For the most part, responsibilities that have been cited so far in this chapter may be thought of as special or extra. That is, they tend to fall outside the routine activities that fill most hours of the week, and many of them, as we have seen, are unique to music as an

academic discipline. These routine activities include keeping records, writing reports, answering correspondence, and attending what often seem like endless meetings.

As pointed out earlier, most of the music executive's special responsibilities are treated in detail in other chapters. They are included here for one very important reason: to illustrate the extraordinarily long list of responsibilities that go with the job of being the *music* executive, compared with other disciplines. In fact, it is not unreasonable to suggest that with few exceptions, completing every task required of you *cannot be done!* Except in a handful of institutions that might be thought of as "heavily" or "generously" staffed, bringing all of the tasks to a tidy conclusion will not be possible. To survive, much less succeed, in such situations, the music executive must learn where to compromise. Which tasks can be given short treatment? Which ones can be overlooked for a period of time? Perhaps more important, he or she must learn to be comfortable with the compromises.

Delegating and Sharing Responsibilities

Some programs, especially larger ones, have support staff to assist the music executive, but few, if any, feel that they are adequately staffed. Successful administrators find help by delegating responsibilities to faculty and students.

To understand the nature of faculty responsibilities and how they are delineated from those of the administration, we may look to traditions of "best practice" and to guidelines of the American Association of University Professors (AAUP). We find what may be designated as areas of *primary faculty responsibility*, which include curriculum, instruction, academic programs, degree requirements, educational policies, and faculty status (e.g., appointment, reappointment, promotion and tenure). As we observed earlier, the fact that these are primarily the province of faculty does not excuse administration from responsibility for facilitating and supporting the work of faculty in these undertakings. We also find areas of *participatory faculty responsibility*, where administration and faculty share in such matters as development of the budget, long-term planning, establishing priorities, and the appointment and retention of administrators. And we find areas of *consultative responsibility*, which include any matters that affect or concern faculty.

When we delegate responsibility, we must be sure to provide adequate resources and authority. Or as some might put it, we must ensure that there is ample "room to fail."

Tips for Personal Effectiveness

Some of the suggestions that follow may seem obvious, but most successful academic leaders will testify to their importance. This statement certainly holds true for *systems*. Systems provide structure and direction for dealing with otherwise chaotic tasks. They invariably save time and improve quality. If no system exists for addressing a complex task that you are confronting, invent one.

Organizing time is sufficiently important that advice about it has become the subject of scores of books and articles. The simplest, most basic advice on the subject is to avoid trying to do everything at once. We need to create blocks of time for dealing with specific issues, and then be fairly rigid in protecting the integrity of those blocks of time. Chances of success with this approach will be improved if we remember to set aside time even for the less critical and uninteresting tasks that go with the territory.

Getting to closure is something that faculty tend to find difficult to achieve. That tendency may stem from those traits or that training that led us to a life of scholarship, and the

skepticism that that implies. We see it in the determination to keep on examining or debating a topic, long after a logical decision has become apparent. In dealing with groups of faculty, it will often fall to the music executive to determine when all sides of an issue have been presented, and then bring the discussion to a close and move on.

The successful music executive *knows when to do nothing*. This approach is not suggested as a means of avoiding responsibility, passing the buck, or ducking unpleasant chores. Rather, sometimes the best thing to do is “nothing,” at least temporarily. How often have we gotten to the end of the day on Friday to be confronted by an issue that somebody is representing as a crisis, and one that requires immediate attention and action? Yet by Monday morning, the issue has gone away and is hardly remembered. Crisis is an overworked concept.

Disappointment and frustration are not exactly the same thing, but we tend to think of both as a product of outcomes. When our hopes are not met by the outcome, we are disappointed; when our expectations are not met by the outcome, we are frustrated. Example: I bought a lottery ticket when the jackpot reached several million dollars. I didn’t win and I’m disappointed. Example: I wanted to become the greatest performer of my generation. I bought a superior instrument, found an outstanding teacher, and practiced endlessly. I didn’t become the greatest performer—I didn’t even come close—and now I’m frustrated. In both cases, my focus was on the outcome. The odds of winning a super jackpot are minuscule; the thought of becoming the greatest performer of my generation is terribly naïve. Often, when we are disappointed or frustrated, it is because we have focused on the outcome when the real problem is with hopes and expectations that are not realistic. We should aim high. We should set goals that make us stretch. But we should do so with realism.

Chapter III

Music Executives and Organizations

*Samuel Hope, Executive Director
National Association of Schools of Music*

Introduction

Any individual undertaking a leadership position in a school or department of music has many choices to make regarding relationships with organizations in music, education, and the arts. Since so much positive work in our society is accomplished by organizations, music executive participation is critically important. A fundamental principle is worth remembering: some things are best done by individuals and some by working with others in our own music department or school, our institution as a whole, or within our local community; however, still other things benefit from combining our aspirations and efforts with others at the state and national levels. The challenge is to make productive choices about working alone and with others at levels appropriate to the issue and task.

In almost every case, significantly more ideas and forces affect the work of a music program than the individuals in that program can deal with by themselves. The whole field of music is imbued with the necessity of working together in situations requiring tremendous dependence on others. The scale and scope of need is so broad that no one organization can address or accomplish everything. Many organizations work to some degree in areas affecting the philosophies, operations, and legislative or regulatory context for schools and departments of music, yet their specific purposes and priorities vary greatly. Thus, each executive has choices to make regarding levels and degrees of engagement with various organizations. The choices made by various individual leaders will be different. Necessity, personal inclination and ability, mission, goals, and objectives of the department or school drive these choices as well as responsibilities assumed by colleagues internal and external to the music program, mandates and agreements, and many other influences.

This chapter addresses the overall policy and operational landscapes that are the natural surroundings of organizations. It provides approaches for determining and assessing organizational purposes. It includes a briefing with analytical questions intended to help individual executives make the best decisions they can for themselves and their institutions in their particular time and situation. In many ways, questions concerning organizational engagement are like questions concerning musical interpretation. When one moves beyond the fundamentals and into sophisticated realms of artistic practice, there are many good choices and many positive ways to proceed. When answering engagement questions, one must make distinctions between individual interests and the necessities created by certain functions that organizations fulfill. Experienced executives recognize the critical importance of organizations they cannot support with their volunteer time. They know that confluence with their personal interest is not the sole criterion for considering the value of an organization.

Basic Purpose

Most organizations are established to accomplish specific tasks. Typical purposes include developing and nurturing a body of content, supporting certain activities or professions, protecting various enterprises and interests, and advancing particular causes. Most organizations have statements of purpose, vision, or mission. It is not always easy to determine the detailed purposes of organizations by reviewing these public statements. Many large national organizations have complex sets of interlocking purposes. They work on many different projects at once, each with its own purpose. Therefore, a simple vision or mission statement may not say very much about the values guiding the organization's daily operations or the many issues that concern the organization. General statements of purpose usually do not show priorities or schedules of activity, nor do they demonstrate the relative weights given to various aspirations and efforts. Naturally, such statements are written in the positive; they do not normally describe matters that are of temporary or permanent concern.

To understand the purposes of an organization fully, the thoughtful executive looks beyond overview statements and studies values, efforts, and priorities.

Basic Values

Assessments of basic values are extremely personal; however, such assessments can be critical in forming an individual framework through which the executive can deal effectively and efficiently with various types of organizations. It is critical to remember that not all organizations can or should share the same core values. Many different kinds of work must be done. One reason for understanding basic values is to develop informed expectations of what various organizations can and will do.

Some organizations in music are deeply centered in the doing or teaching of some specific musical task. These organizations usually concentrate on the content, substance, essence, habits of mind, history, continuation, and future development of the art itself. Organizations centered on the creation or presentation of music will approach this task somewhat differently than organizations centered on education. However, the goal of nurturing the art form and the abilities of people to work in it are prominent, shared core values.

Many other organizations with relationships to music and the other arts do vitally important work but are not centered on creation, presentation, or education. These organizations are in the support sector and range widely across the profit and not-for-profit spectrum. They include manufacturers and retailers, advocacy organizations, unions, governmental arts councils, general educational organizations and agencies, and groups of specialists in scholarship, policy, and technical services. All of these organizations provide invaluable services to music. Each provides an important forum for the development of specialized expertise and knowledge in a particular area. Each deals with certain content and responsibilities. Obviously, the number and variety of organizational values and missions provide a treasure trove of expertise for every music-associated field.

Core values are also expressed in terms of specific responsibilities and approaches to content. For example, organizations can be centered on such functions as intellectual analysis, techniques and sharing, legislation and lobbying, public information, professional development, standard setting, collection and interpretation of statistics, publishing, and meetings and seminars. Most organizations will fulfill several of these functions. However,

core values are revealed by the emphasis given each function and the ways in which the activities of the organization are pursued.

Scope

In one sense, scope is geographic. For most executives, being engaged to some degree with local music and arts organizations is absolutely critical. Local organizations are usually connected in some way to state, regional, or national counterparts. Each organizational level is important because it is difficult for organizations working at one level to be effective on another. Each music executive is faced with choices concerning the specific returns on investment for work at each level. Normally, a music program in higher education will need to maintain connections with organizations at all levels. In this regard, executives are responsible for ensuring that these connections are well calibrated to serve the school or department. Usually, this means a careful delegation of responsibilities for organizational liaisons among faculty and administrators.

Scope can also be considered in terms of specialization. Some organizations are focused on one particular aspect of subject matter, performance, support, or commerce. Such organizations support virtually all music professions. Other organizations function more comprehensively, addressing multiple interests and specializations or all the elements of a particular complex function, such as the performance and preparation of chamber music, the operation of symphony orchestras, or the music products industry.

Scope can be considered in terms of function. Therefore, an organization may focus on one or two specific functions such as performing rights licenses, accreditation, performance, or scholarship and at the same time address a broad range of musical subjects. Some organizations have multiple functions.

Purposes, Values, and Scope

Combining understandings about purposes, values, and scope leads to greater clarity regarding distinctions among organizations. Even the largest, most comprehensive organizations are distinct in their work plans and approaches to issues. Each has a unique operational style. These approaches and styles are driven in part by purposes, values, and scope, but they are also deeply influenced by organizational cultures and associated leadership styles.

The composite set of organizational characteristics is not always easy to discern by simply reading about the organization or even by attending a meeting or two. A certain amount of direct engagement is necessary to understand the dynamics of the organization and the various internal and external influences on the decisions it makes. As with music schools and departments, organizations face challenges. Elected and staff leaders cannot always do exactly what they would like to do. Large organizations, whatever their purposes, values, or scope, have multiple relationships and commitments. From time to time priorities must be set. Experienced administrators understand how much negotiation is involved in most critical decision-making. This understanding provides an important perspective on the decisions made by organizations. However, negotiating positions develop from purposes, values, and scope; therefore, experienced executives consider decisions by an organization specifically and in concert with a background understanding of mission (as published and exemplified), values (expressed in the way the organization works with music and associated support issues), and scope (in terms of geography, specialization, and function).

Funding

Almost all organizations charge dues, but funds are often raised by other means. Funding patterns reveal information concerning independence. For example, organizations relying primarily on grants must orient their programs to matters of current interest to foundations, corporations, and government agencies. The goals of these funders may be perfectly consistent with those of the organization, or they may not. The importance of independence varies depending on the function of the organization. Experienced executives understand that the level of dues charged by an organization may correlate with the need for independence and stability.

Most organizations in music have a not-for-profit status with the Internal Revenue Service. There are various categories of not-for-profit organizations, and within these categories certain restrictions apply. For example, organizations classified 501(c)(3) can only spend a small percentage of their budgets on influencing legislation. Organizations usually accept the restrictions that come with a federal income tax exemption. An understanding of the funding pattern and the specific IRS status of an organization adds to the picture already provided by considering purposes, values, and scope.

Priorities and Assessment Criteria

Most organizations do a number of similar things. For example, organizations typically perform some sort of an educational function; however, just to mention education as a purpose, core value, aspect of scope, or subject of funding does not provide a full picture of the educational work being done. Some organizations provide education primarily for their members only; these organizations do not focus on general or professional education in music. Some organizations are concerned with education as a means to another end. Thus, saying or writing the word “education” means little in and of itself. The same is true of many other words used in statements in outlining purposes and core values. In-depth analysis is important because many organizations have various levels of concern for particular musical functions and activities but no real engagement with the function or activity itself. Again, music executives need to discern the deeper meanings of asserted purposes and priorities in order to know what to expect, and especially how and in what ways to participate.

The issue of priorities leads naturally to assessment criteria. How can the music executive best assess the nature and characteristics of an organization and thus the applicability of its work to various purposes and functions of the music school or department? This question is extremely important for each individual to consider. Making good personal assessments regarding the kind of work an organization does, or can be expected to do, is different from making an assessment regarding the value or effectiveness of that work. Experienced executives do not conflate these two kinds of assessments. There are important distinctions between what an organization is structured to accomplish in the terms we are discussing and the extent to which it is successful in carrying out its purposes and functions and addressing its priorities. One can easily make mistakes in judging performance without sufficient understanding of purposes, values, scope, funding and priorities, current conditions, and their multiple relationships.

Networks and Coalitions

No organization can accomplish everything by itself. Various kinds of networks and coalitions enable organizations to engage in work that falls beyond their specific purposes and scope. Organizations may be in regular communication with each other, or they may be deeply connected through a common effort or project. Wise organizations watch for the interests of other organizations; they understand the multiple relationships and dependencies in the composite system of musical endeavor. Networks form naturally among organizations pursuing various aspects of the same type of work. For example, organizations representing various music performance genres form a natural network with certain common interests, even though in the marketplace one genre might compete with the others for attention and funding. In sophisticated organizations, competition does not preclude cooperation. Organizations that fundamentally disagree on one or many topics may find themselves needing to cooperate in the face of a specific or continuing common danger. This kind of flexibility occurs regularly among organizations that work on legislative and regulatory matters. Coalitions routinely form to advance or oppose a particular idea or proposal, only to disband when the issue has been resolved. Organizations work collectively for much the same reasons that individuals work together in organizations. At times, work can be accomplished faster and with more lasting effects than they could achieve by themselves.

Organizations determine their presence in networks and coalitions depending on the nature of what they do. For example, some organizations must maintain their independence because of functions they serve. They must not only *be* objective but also *appear to be* objective. Such organizations may be reluctant to join with others. Many organizations will not cooperate unless they have a final say in policy setting or other decision-making. In other words, they hesitate to lend their name to a group that may develop and advance positions that the organization itself does not endorse.

Networks and coalitions provide a valuable check and balance on decision-making in American society. Many organizations monitor results, ideas, proposals, and media coverage in their area of concern. When multiple organizations are in contact, it is unlikely that something of importance to the group will go unnoticed. It is not unusual for one organization to share information with another, expecting the second to take primary responsibility for the next steps. Most organizations try to concentrate on what they do best, combining their expertise with that of other organizations when necessary. This division of labor can be extremely efficient and effective. When assessing the performance of organizations, it is important to understand how they have contributed to positive results for which they have received no public credit. This is particularly true at the national level.

Volunteering and Serving

The United States is unique in its reliance on voluntary organizations, and the field of music is no exception. Most organizational activity that supports music and musicians would be impossible without the volunteer service of thousands of professionals. In these circumstances, volunteering to serve in organizations is an act of musical citizenship that both enriches and advances the entire field. Most executives follow the activities of a significant number of organizations, participate in a few, and perhaps devote significant attention to one or two. As stated throughout this chapter, choices concerning organizations are important. After making a personal assessment of an organization based on purposes, values, scope, functions, methods, and performance, the next step is to determine the

relationship between what you can contribute to a particular organization and what that organization can offer in return. Following that, it is important to make judgments concerning the extent to which your expertise, personality, ways of working, approaches to problems, and personal preferences fit with one or more aspects of what the organization does and how it does it. For example, if the organization is dealing with complex matters, do you have the time and interest to study, analyze, and otherwise keep abreast of a developing situation, or to participate actively in formulating and following through on positions and tasks? Musicians often have an advantage in making such decisions because of their experience with the nature of ensemble playing. At times, one instrument predominates, but at other times it is secondary. Most large organizations need volunteers with a great deal of flexibility, including the willingness to work behind the scenes with minimal public credit, at least on occasion.

One must also consider the impact of volunteering and serving on campus responsibilities. Other administrators and faculty members may be jealous of a music executive's time spent on an outside engagement, especially when others do not understand the reasons for the engagement. Any executive undertaking major commitments to an organization must be sure that all appropriate constituencies are fully briefed. Usually it is a good idea to keep communication flowing with regard to the work of the organization and its importance to the music school or department. Organizational service must not be allowed to adversely affect the executive's performance at home.

As volunteer service continues, an organization may ask a music executive to provide leadership. Most organizations will ask individuals to take responsibility for something on a small scale before offering larger opportunities. For some organizations, certain operational aspects carry significant risks. The higher the risk, the more the organization will do everything possible to make sure only qualified individuals are assigned to that specific task. Often one only gains such qualifications through significant experience with that task. During one's early years of being a music executive, organizations can provide significant opportunities to meet and learn from others and to gain experience and wisdom in the ways of the profession. Such experience can also produce a deeper understanding of the reasons for current values, positions, and conditions. This understanding provides a foundation for thoughtful judgments concerning stasis and change.

All organizations seek individuals who can provide information, analysis, and expertise and who are willing to serve others. For this reason, substantive presentations at organizational meetings are among the best ways to gain stature in the field as a new executive. Presentations or papers should be developed with the understanding that the audience members have significant experience not only in music but also in the management of academic and professional organizations. Therefore, content and thoughtful analyses are far more important than mere presence on a program. When invited to present or otherwise participate in a special role, prepare thoroughly. Show by your action that you are interested in content and substance.

National Educational Organizations in Music

There are many national organizations with musical or music-related purposes. The largest national associations with a direct relationship to higher education are, in alphabetical order, the College Music Society (CMS), MENC: The National Association for Music Education, The Music Teachers National Association (MTNA), and the National Association of the Schools of Music (NASM). CMS and NASM primarily focus their priorities and operations

on higher education. MENC and MTNA concentrate on music education of children and youth, as do the National Guild of Community Schools of the Arts and the International NETWORK of Schools for the Advancement of Arts Education. To be extremely brief, CMS is an organization of music faculty undertaking a comprehensive effort on behalf of multiple specializations and agendas for music in higher education. NASM is an organization of institutions primarily known for the accreditation of post-secondary liberal arts and professional institutions and music programs. MENC focuses primarily on music teaching and learning in the public schools and MTNA on private studio teaching in all settings. The National Guild serves institutions and programs that provide education in music and performing arts in an after-school setting for children, youth, and adults. The NETWORK concentrates mainly on special elementary and secondary education, boarding and day schools engaged in preprofessional education in some way, and training in one or more arts disciplines within the context of a regular school setting. All of these organizations are comprehensive in the sense that they encompass a broad spectrum of musical activity, repertory, and professional action. The organizations are not coordinated in a formal way, but they work in parallel to advance the cause of music teaching and learning at all levels. Many professional reciprocities exist among the organizations and their members. It is not unusual for a music executive to interact with a number of these organizations at the same time. Further information about each organization may be found on their web sites, which are listed in the Resources section of this chapter.

NASM and Accreditation: A Brief Orientation

More than six hundred postsecondary institutions with significant goals and objectives for music are accredited institutional members of the National Association of Schools of Music (NASM). The association was founded in 1924 and is engaged in four primary activities: accreditation, institutional research, professional development of music executives, and policy analysis. Each institutional member of NASM designates an individual to be its official representative. Often this representative is the music executive. Over the years NASM has developed a set of standards and a process that it uses to conduct periodic reviews of its institutional members. Music executives and other musicians may become individual members of NASM by simply filling out an application form and paying an annual fee.

A music executive needs to understand the multiple functions of accreditation. American higher education relies on accreditation for self-regulation; accreditation keeps standards setting and reviews of institutions and programs under the aegis of higher education and the professions. Although accreditation results may be used to serve certain government purposes, accreditation is nongovernmental. A primary function of accreditation is to keep matters of academic content and evaluation free from government control.

Accreditation also provides an efficient way to exchange expertise and to work thoughtfully for institutional and programmatic improvement. Accreditation is conducted primarily by volunteers. The staff members of accrediting organizations function somewhat like umpires in a game; they ensure that the rules and procedures are followed. In the case of NASM, all of the standards for accreditation are approved by a majority vote of the representatives of NASM member institutions. The standards are not externally imposed but rather are internally developed in deep consultation with many other individuals and organizations concerned with the future of music and music study.

The existence of such consensus-based standards and the commitment of so many institutions to abide by them create a powerful force in education policy. The standards are published in NASM's *Handbook*, which is accessible online. NASM's standards serve as a reference for more than just its own membership; they are widely regarded as the authoritative statement concerning degrees and programs in music and the operational requirements needed to support them. The standards are designed to be a framework that will allow for significant variation in method at all levels. They are written in terms of what is needed and what results are expected rather than in terms of ways and means. These characteristics make the standards effective as protectors of the basic necessities of music studies for various liberal arts and professional purposes within the context of American higher education. They provide a strong foundation and a rich resource for the work of music executives.

Accreditation reviews are intended to accomplish two fundamental purposes: (1) to assure that the institution and its music programs either meet or continue to meet the NASM standards that apply to the programs being offered, and (2) to conduct an analytical review for the purpose of improving the quality, depth, and impact of a particular music school or department. This second objective can be fulfilled with maximum effectiveness when a school or department uses NASM Self-Study procedures to create an individualized approach to assessing current levels of achievement and planning for its future. Effective accreditation procedures result in improvements, most of which have been identified through the self-evaluations made over the course of the reviews. At times, accreditation can provide needed support for resource enhancements; however, this task can only be accomplished if the resources are truly critical to achieving fundamental educational functions or expressed goals of the institution.

The NASM accreditation system has many checks and balances within a structure that resembles the doctrine of separation of powers evident in our federal system of government. This means that no individual or group has complete control of any aspect of the work of the association. It also means that the Commission on Accreditation must conduct reviews based on the published standards approved by the membership.

In fulfilling its other functions, NASM requires a statistics-based annual report from each accredited institution. Nonaccredited institutions may also participate by paying a fee. These annual statistics are compiled into tables that provide valuable current information about various operational aspects of music schools and departments. Most music executives find these statistics invaluable in making comparisons with other institutions and in making the case for particular resource allocations, goals, or solutions. Like most organizations, NASM holds an annual meeting. This event operates primarily as a three-day professional development session for music executives. Significant numbers of papers from past meetings are combined in the *Proceedings* of the association.

NASM is also engaged in policy analysis. This means taking particular issues in music or (more generally) the arts, education, or related topics and subjecting them to in-depth scrutiny and projection. These policy analyses are intended more to help individuals think about issues for themselves than to tell them what to do. Normally they are not advocacy documents in the sense of promoting or positioning a certain philosophy, approach, or method.

NASM maintains a "New Executives" section on its web site. As is the case with most large organizations, the NASM web site is full of information about various aspects of the work of the association.

Getting Along in the Profession

Music executives have a broad range of responsibilities. These include the usual issues of academic management, but they also include performances, management of facilities and equipment, safety, library collections, and many other complex duties such as evaluation across a range of content, specializations, and activities. Music executives also work within their communities. This includes relationships with artistic, educational, and political issues and groups, as well as with the general public. As previously noted, some executives become engaged with national and international organizations in these categories. Increasingly music executives are responsible for fund-raising. Through their decisions, executives exert a significant influence on the artistic and intellectual climate of their school or department.

For this reason, individual executives need the ability to develop and maintain a variety of perspectives. Often this means being able to step back and view the whole system and its parts from a distance. This long view is particularly important because of the many parts to behold and the many different kinds of responsibilities and areas of engagement. In multipurpose colleges and universities, the music executive must relate to upper administration. Turnover in provosts and presidents can be quite rapid. Music administrators have a responsibility to ensure a continuity of understanding about the purposes, goals, and achievements of their programs among members of the entire college or university community. It is often too late to build understanding when a personnel change or crisis occurs. Wise executives constantly infuse their work with explanations of the importance of their projects. Such explanations are not always directly verbal; they may involve simple things like developing a record of faithfulness, work of the highest quality, obvious commitment to the institution as a whole, efforts to maintain reciprocity with other programs in the institution on multiple levels, and so on.

Getting along in the profession usually means taking great care in considering the ramifications of particular courses of action, including facing the potential negatives that can accrue from a decision or a project for which there is great enthusiasm. It is never a bad idea to ask yourself and others what can go wrong. Fortunately, there are many resources available to anyone who wishes to study any aspect of management. Despite its many technical dimensions and standard procedures, management is truly an art in the sense that rarely can standardized solutions be transferred from one situation to another without alteration. Management requires at least as much sensibility as technique. While it is important to find out what others may be doing, it is equally important to remember that your situation is not replicated anywhere else. For this reason, constant attention to realistic analyses of your situation is critically important. Appropriate mixtures of creation and imitation seem to work best.

Getting along in the profession also means realizing how your success depends on the success of others. This means understanding and balancing the nature of healthy competition and the necessity of mutual cooperation. No matter how strong a music department or program appears to be, it is always vulnerable in some way. As we know in music itself, greatness can never be taken for granted but requires constant effort. Again, we turn to the ensemble analogy. Musicians have a natural understanding of interdependency and cooperation. In management, both are particularly critical in terms of relationships with other executives and institutions. The work of each institution and each executive is inextricably connected to the work of all the others. Many forms of competition between institutions do not harm the basis for cooperation and common effort. Every music school or department depends on all sorts of artistic and educational activity associated with music.

Individual teachers, community music schools, public schools, magnet schools, and institutions of higher education with a broad range of goals for music are all essential in developing future musicians and audiences, and thus in keeping the profession growing and developing in a productive and vigorous way. Getting along in the profession is enhanced by showing participation and eventually leadership in a sector of this grand effort for music. The most respected music executives are those who exhibit and act in relation to artistic, educational, and cultural visions beyond their own immediate concerns. They see their work and that of their institution as part of a larger whole. They learn to communicate this vision and the meaning of this vision to others within their institution and beyond. Their leadership comes from something that transcends a simple desire for position or compensation.

Effective music executives fulfill their responsibilities in different ways. Respect comes from a combination of personal integrity, personal style, a sense of vision and mission, and demonstrated competence. Today significant resources exist to help individuals grow as executive leaders. Many institutions support professional development through specific offerings and opportunities. Various organizations in music and beyond provide resources that are important for academic managers. Simply working with other music executives and learning from experience are two of the best ways to gain competence and fluency in administration and leadership. Experienced executives are willing to help. They recognize the importance of continuing to build leadership potential and expertise. Even veteran executives find that getting along in the profession means asking for advice and considering the thoughts of other respected and experienced individuals, as well as learning constantly with dedication to both specific and broad purposes. By pursuing learning in this way, music executives are able to forge decisions, projects, systems, and ultimately careers that fuse technical skills and musical purpose consistent with the artistic nature of their field.

To get along in the profession, music executives need the kind of perspective that produces an evolving understanding of contextual conditions—in other words, how to work with “why” questions as well as “what” and “how” questions. Organizations can help executives gain perspectives and competence through professional development and information programs. Organizations provide efficient ways to gain access to overviews of what is happening in a particular music specialization or with a particular music function such as performing, composing, or teaching. To be successful, the academic music administrator needs personal knowledge, drive and dedication, clear and accurate assessments of local conditions and prospects, and a comprehensive understanding of larger contextual issues and policies. Leaders of the profession work constantly at all four of these attributes, using as many individual, institutional, and organizational resources as they can find. They find satisfaction in thinking and working on a broad scale and in applying strategic thinking to problems and to efforts to reach goals. They never lose music as their center, which gives them the ability to lead efforts that combine with others to advance the art and the people who make it and serve it.

Resources

NASM Publications

NASM Handbook 2005–2006

NASM Proceedings

Work of Arts Executives in Higher Education

Sourcebook for Futures Planning

Web Sites

College Music Society (CMS), www.music.org

MENC: The National Association for Music Education, www.menc.org

Music Teachers National Association (MTNA), www.mtnacertification.org

National Association of Schools of Music (NASM), <http://nasm.arts-accredit.org>

National Guild of Community Schools of the Arts, www.nationalguild.org

International NETWORK of Schools for the Advancement of Arts Education,
www.artsschoolsnetwork.org

Chapter IV

Planning in the Music Unit

*Frederick Miller, Dean Emeritus
School of Music, DePaul University*

*Robert J. Werner, Dean Emeritus
College-Conservatory of Music, University of Cincinnati*

The Importance of Planning

Because it is basic to virtually everything else of importance, planning is one of our most important managerial tasks. Viewed in simple terms, planning may be seen as making the most appropriate choices among various alternatives. Because it forms the basis for making day-to-day operational decisions, the “plan” provides direction that makes it possible to operate smoothly and efficiently in accomplishing our larger purposes. Planning contributes to a *proactive* operational behavior, as opposed to bumping around in reaction to vague, unpredictable external forces. It puts the administrator in control.

As the term is used here, planning refers to long-range or long-term planning, or as it is most often identified, “*strategic planning*.” The music executive often has an opportunity to enter into review of mission and goals, which are the foundation for any planning exercise, as they pertain to the future of the music unit. This process might occur when the institution requests that the unit provide a statement regarding its future plans, which often happens along with a change of administration, such as a new president, provost, or dean. The review can also arise out of a change in the music unit’s leadership or of the process of accreditation or reaccreditation when a “self-study” is required. The music executive should be sure to fully review the current situation with the faculty before developing new plans as needed.

Another often-overlooked opportunity for planning occurs during facility construction or renovation. Building projects can be used as much more than a chance to collect a wish list of square footage or other needs; rather, the music unit should seriously discuss and evaluate how the facilities should support programs and what kind of teaching will take place in the various components of these facilities, so that the unit can realize its overall goals. Obviously, it would be ill advised to build or renovate facilities that when completed do no more than support an outdated mission or questionable programs.

The music executive should take advantage of any of these or other opportunities that provide a purpose for mobilizing faculty and staff in a serious planning exercise. Such a process also allows faculty that have been appointed since the last formal planning occurred to have input into the future of the music unit. Planning should also include students and alumni, who often can bring a perspective that could prove to be important to future considerations.

Elements of Planning

Although the terminology utilized may vary among different institutions, most successful strategic plans have in common the following five elements, which are usually considered in this order: (1) vision, (2) mission, (3) planning assumptions, (4) strategic goals, and (5) objectives.

Vision is about what we wish to *be*. How *good* can we be? How are we *positioned*? That is, with whom or with what institutions do we wish to be compared? Effective statements of vision are typically concise, usually limited to two or three sentences. The leader of the enterprise—in this case, the music executive—usually initiates vision. Wherever it originates, the vision must be understood and shared by everyone involved, including college and university administrators.

Mission is not the same thing as vision, even though the two terms are often used interchangeably. Vision, as noted above, is about what we wish to *be*. Mission is about what we wish to *do*. What is the nature of our product? Whom do we wish to serve? Mission statements are generally a bit longer than those about vision, but they still should be fairly concise, generally consisting of only a paragraph or two. It could be said that both vision and mission are more easily understood than articulated. Thus, the faculty generally agrees quickly and easily on the content of vision and mission, but they may battle endlessly on the language used to describe them.

Both the vision and mission statements should be sufficiently focused so that they relate to the uniqueness of the enterprise. They should also be sufficiently general to permit at least some latitude. A good test of both statements is the following pair of questions: Does the statement adequately and accurately describe our enterprise? Does it adequately and accurately describe what is unique about the music unit's vision and purpose?

Planning assumptions, sometimes called “landscape assessment” or “environmental scanning,” are an important early step in the planning process. Planning assumptions identify those conditions and forces—those internal and external variables—that may have an impact on the plan. Examples of internal assumptions might include institutional priorities; financial, physical, and human resources; facilities; and so on. External assumptions might include local, state, or national economic circumstances, or demographic trends and projections (e.g., the number of students who will enter college during the planning period, the number who might enter the music program, projected demand for a proposed new program).

The beginning of the planning exercise is an appropriate time to make an assessment of the present state of the music unit and all of its components. One should not be surprised to find that the various constituencies involved in such an assessment may view the present situation from quite different perspectives. Thus, before planning for the future one should be sure to fully understand the present. The SWOT model, which came from the business world, now appears as a frequently used model for higher education. This exercise is meant to identify the unit's Strengths and Weaknesses as well as its Opportunities and Threats. A SWOT assessment should take into consideration factors that are internal to the music unit, which are its Strengths (e.g., facilities) and Weaknesses (e.g., insufficient staff support), and those external factors, known as Opportunities (e.g., a supportive institutional administration) and Threats (e.g., a highly competitive student recruiting environment). The areas of the music unit considered for assessment should be consistent in all four SWOT categories focusing on each area of instruction, such as studio instruction, music education, ensembles, music theory, and so forth. The SWOT analysis should provide a profile of the

music unit's present position in regard to the institution, the region, and even the nation as a whole. It can also provide the basis for developing strategies in pursuit of opportunities, overcoming weaknesses, and minimizing the effects of external challenges.

Many possible sources of information exist as the basis of planning assumptions. Most colleges and universities have an office and/or designated individuals responsible for "institutional research," which has to do with analyzing statistical records and information that can identify trends or point to potential problems. Departmental records can sometimes provide the same kind of data. Government agencies, such as state departments of education, serve as a good source of information. Professional publications, such as the *Chronicle of Higher Education*, often report on national trends.

One of the most useful sources of information for the music executive is the Higher Education Arts Data Services (HEADS), a project of the four arts accrediting organizations for music, art and design, theater, and dance, respectively. For example, the annual HEADS "Data Summaries" report, based on annual reports from member institutions, provides statistical information about such topics as faculty salaries, enrollment patterns, and expenses of the music unit. Organized and presented by size and type of institution (public or private), the report provides useful and comprehensive information and serves as an invaluable tool in planning. All administrators can find out more about the HEADS report by going to the NASM web site at www.arts-accredit.org.

Some of the information included in the planning assumptions will be factual, some will be judgmental, some reflective, and some projective. All of it will be intended to provide a realism against which strategic goals can be measured.

Strategic goals identify, in general terms, what we wish to accomplish in specific areas of planning, such as curriculum, enrollment, budget, facilities, and so on. Goals should be consistent with, and informed by, the vision and mission, and they should be realistic when measured against the planning variables. From time to time, it is possible to have no goals, or several, for each of the planning areas. A list of typical planning areas, sometimes called a "planning agenda," follows. There may, of course, be others but these are the most common:

- Curriculum and Programs
- Teaching
- Enrollment Management
- Budget and Finances
- Facilities and Equipment
- Faculty and Staff
- Student Life
- Community Engagement
- Planning and Assessment
- Advancement

Objectives serve to quantify goals. They answer such questions as Who? How many? By when? Sometimes these questions are addressed specifically in a so-called Action Plan that accompanies the objectives.

Characteristics of a Good Plan

While the length of a planning period, that is, the length of time to be covered by the plan, is arbitrary, five years seems to work well in many cases. A shorter period may not allow sufficient time for the plan to develop. Over a longer period, the forecasting associated with planning assumptions may become invalid.

Good plans are *adaptable*. They should be responsive to changing circumstances, new information, and experience. They should also be *realistic*. It is good to stretch—to “set the bar high,” so to speak. But if the plan seems unrealistic or unattainable, it will not gain acceptance or engender the broad effort needed for success.

Strategic planning is really an extension of strategic thinking. It is about seeing the “big picture,” taking the “long view.” These things are important, but they are not enough. It is not enough just to see beyond the horizon; one must be able to *make connections* between all the things to be seen out there. What is the relationship between budget and curriculum? between curriculum and staffing? between staffing and facilities? That is the strategic view.

It should be stressed that effective planning is *institution-specific*. Thus, any plan must be realistic in regard to the resources needed for its implementation and the amount of central administrative support that can or will be committed by the given institution. The music administrator should remember that both the goals that are being set and the time frame for the plan must be attainable in their institution’s given situation. The plan should be related to the music unit’s and the institution’s reward systems, in such areas as tenure, promotion, faculty or program support funding, and general recognition of individuals or academic areas.

Challenges to an Effective Planning Exercise

Since a planning exercise will require a good deal of commitment on the part of all involved, the music executive must keep in mind some of the most critical items that will affect the immediate and long-term outcome of strategic planning. Some of these have already been mentioned, but it is worth reminding the music executive of their critical role in the success of the plan.

Support comes from many areas of administrative responsibility. Some will be directly under the music executive’s control; others will need to be provided by others in the chain of command. Thus, all constituencies must “buy into” the planning and be prepared to support the outcomes agreed upon. A common mistake is underestimating the fiscal support that each area of the plan will require. Such an error could necessitate the reallocation of budget or faculty positions, either of which can have a demoralizing effect on people if they have not realized the consequences of the plans.

Institutions in higher education, especially public ones, can often experience cycles of restricted funding. For this reason it is imperative that the college and university administrators be consulted before and throughout the planning exercise as the scope of suggested changes, and the required increased or reallocated funding, is determined. The music executive should make sure that the plan has the support needed at all levels for its successful implementation throughout the time frame being proposed.

As mentioned before, the music facilities should also be considered in strategic planning. They must be able to appropriately accommodate the plans being made. Since music requires a good deal of specific-use facilities, one should be sure that they will be available to support

the programs and activities implied by the plans. If not, then the plans and the time frame might need to be adjusted accordingly.

Faculty members are usually not accustomed to extensive all-inclusive planning. Most music faculty are hired because of their strong qualifications in one or two areas of music, with the expectation that they will bring the area(s) for which they have responsibility to the highest possible level. Therefore, they might bring a rather myopic view of the department or school to their planning participation. For this reason, one often will find faculty whose model for programs is based primarily on recreating their own educational experiences, regardless of appropriateness to the unit in which they are now employed.

Since the realization of academic programs is a faculty responsibility, the faculty, both individually and collectively, have a great deal of autonomy. Hence, it behooves the music executive to be sure that they are fully engaged in the planning process and understand the implications of all the various aspects of the planning initiative. No one has more autonomy than a music professor when he or she goes into the classroom, studio, or rehearsal hall. What they do there is what truly becomes the reality of the academic planning.

Demographics are an important consideration in strategic planning, especially because such planning makes assumptions regarding the future change anticipated in the makeup of the communities the institution serves, whether local, state, regional, national, or even international, including the ethnicity and age of the students enrolling in higher education. This demographic data can have serious implications for recruiting students to specific programs and for engaging the communities to be served. Such projections are not easy to make; thus, all too often planning looks back on what has happened and not realistically enough toward what might yet occur.

A serious consideration in future planning should be engagement with the community, which is always expected of music programs. Many available sources comment on trends and make projections. Since we cannot have an infallible prescience when predicting what music units will face, we need to take advantage of those sources that regularly examine projected trends and patterns. A most helpful source for those responsible for planning is the *Chronicle of Higher Education*. In the field of music the executive should make themselves familiar with the reports, publications, and programs of the National Association of Schools of Music, the College Music Society, and the various professional associations.

Many of the higher education music programs in the United States developed out of the background and heritage of several generations of mainly European immigrants. As a result, music programs have been modeled primarily after European conservatories, which dedicated themselves to performing and creating Western European art music. Over the years many other ethnic groups have adapted to these programs while also promoting changes that represent their heritage. The current significant increase in the Asian and Latino population, in some areas of the country in particular, will certainly influence both society and education. The potential effect of this change in demographics on a music unit must be considered in planning for recruiting students, developing degree programs, or engaging the greater community. Such a population shift could also bring economic changes that might affect the funding of higher education.

Implementation is the music executive's responsibility; thus, he or she must be sure that the extent and timetable for implementation of the plan is clearly understood by all responsible for its execution. Everyone involved in the planning, not only the music executive, must feel that they are "stakeholders" in the agreed-upon consensus the plan represents. The details of the plan should be clearly articulated in a way that lays out actionable priorities and holds everyone accountable for their part in putting the written document into action.

Evaluation is another critical part of strategic planning. Once a time line has been established and the plan has been initiated, its outcomes and the creditability of its assumptions should be periodically evaluated. All too often faculty and staff feel that when a long and detailed planning period ends, so does their involvement. Actually, their role has just begun, because everyone needs to be vigilant in evaluating the results of the plan and, if needed, adapting its goals to the reality of the situation. The planners become the facilitators. Thus, the music unit should establish a continuing forum in which to discuss and evaluate outcomes and react to contingencies. This task is one of the most challenging and continuing responsibilities of strategic planning for the music executive.

A Final Thought

As this chapter has sought to emphasize, planning lays a foundation upon which the music unit's vision and mission can be made actionable. It can provide the music executive with a context within which he or she can interact with both faculty and the upper administration. When either of these constituencies experiences personnel changes, the plan can provide a focus for articulating and evaluating the ongoing efforts of the music unit.

The strategic plan exists to serve the music unit, not to be served. Periodic "benchmarks" are useful for measuring progress. The music executive and the faculty should review the plan's continuing relevancy, preferably on an annual basis. It must remain adaptable to the realities of any given situation and the shared goals of the profession of music in higher education.

Chapter V

Enrollment Management

*Jo Faulmann, Assistant Dean Emerita
Frost School of Music, University of Miami*

*Richard Kennell, Dean
College of Musical Arts, Bowling Green State University*

Introduction

Managing enrollment in a music unit is much like fielding a sports team. Recruiting players and seeing that all the positions are covered and players retained are key to the success of the team. These issues are likewise fundamental to the success of the music unit. The challenge, however, may be even greater given that music departments field not just one team (ensemble) but many—orchestra, choir, wind ensemble, chamber ensembles, marching bands, jazz ensembles, and so on.

The job of the music executive is to see not only that these ensembles have quality players but also that faculty studios are filled and an appropriate distribution between majors exists. The interplay within and among students in a music department is critical to the musical and academic success of the unit and indeed the education of those enrolled. Without proper instrumentation, students will not have as fulfilling of a musical experience, which will deter prospective students from enrolling and current students from wanting to remain at the college.

Enrollment management is crucial for several important reasons. The music curriculum depends both on offering viable ensembles and on providing, on a predictable schedule, the classes required for students to graduate. It is essential that the various majors are populated with *appropriate* numbers of quality students, which helps maintain faculty morale and pleases university upper-level administration by optimizing revenues from full teaching loads. The campus and community's (and prospective students') perception of the quality of the music unit may derive from the selectivity of the music admission process and the perceived quality of enrolled students. Effective enrollment management helps build trust and confidence within the music unit and the college administration.

Defining Enrollment Management for the Music Unit

The principle of enrollment management consists of two parts: (1) monitoring the retention of current students (as an indicator of student satisfaction) and (2) recruiting and admitting new students in a desired profile of instruments/voice types/majors. Executed effectively, music admissions will complement the current enrollment and optimize the musical and academic achievement of the student body. While retention strategies are important, for the purposes of this chapter the focus will be primarily on the development of student recruitment strategies at the undergraduate level.

In academia, music units offer important characteristics that differ from most other campus academic units:

1. Prospective music students (freshmen and transfers) behave like graduate students in other disciplines in that they are more discriminating concerning their needs and interests. They go beyond asking, “Do you offer music?” and seek greater specificity: “Who teaches clarinet at your school, where did he/she study, and where has he/she performed recently?”
2. Music students inquire earlier than other students. It is not uncommon for music majors to focus on this career interest in middle school.
3. In addition to meeting all the other academic entrance criteria, music applicants must present an audition and demonstrate a desired level of music proficiency.
4. Music schools need more than a critical number of majors; they require an optimum mix of musical instruments, voices, and majors.

For many new music administrators, the problem of fielding that balanced and talented team of students is daunting. What can we say or do to compel students to choose our music unit over the many others that are available? The new music administrator seeks an approach that will inject certainty and control into a process that seems to defy both. They seek simple and quick solutions.

In practice, the common phrases “enrollment management” and “student recruitment” are *chunked* terms. They represent systems of complex activities that work to achieve the higher goals of optimum quantity, mix, and quality. One way to deconstruct the complexity of “student recruitment” is to attempt a working definition:

Student recruitment is **the right message**, delivered to **the right student** at **the right time** (and in *the right style*).

The effective student recruitment program manages all of these variables: messages, students, time, and style. This definition reveals the fragility of the recruitment process. How many of us in our professional lives have ever sent the wrong message to the right person at the right time? or the right message to the right person at the wrong time? Clearly student recruitment is fundamentally complex, and understanding this complexity is the first step toward effectively managing it.

What do we know about students? Prospective music students often fall into three categories: (1) those who become serious about their music studies early in life, (2) those who attempt to become serious about music study later in life, and (3) those who enjoy music but fail to grasp the importance of sustained effort and study. We assume that the earlier a student starts preparing for a career in music, the more capable the student might become. We also assume that students who present the least preparation will be candidates for failure and become dropouts.

All prospective music students go through clearly identifiable stages as they progress from their first awareness about music to the final decision to enroll at a particular school:

1. **A prospect** is a student who is generally interested in music without a specific focus or college goal or major.
2. **An inquiry** is a student generally interested in music and who has contacted a school and requested specific information about music opportunities.

3. **An applicant** is a student who has formally applied for admission and scheduled an audition.
4. **An accept** is a student who has passed the academic and audition requirements and has been formally accepted.
5. **A matriculant** is a student who has been fully accepted by the institution AND has chosen to enroll.

These stages unfold over time and are commonly known as the “admissions funnel” (see table 1). For some students, the transition from prospect to matriculant takes a few months. For most students, however, this process can unfold over years. Managing the flow of messages (the right message) to these different students (the right student) over time (the right time) is student recruitment in action.

The music unit must provide future students with messages that are appropriate for each stage of the relationship over time. While these steps are the same for all music units, schools of different sizes will experience challenges on different scales. In larger music programs, a music admissions professional coordinates the efforts of many different music faculty members. In smaller units, the work of student recruitment is performed by fewer individuals. No matter how large or small the music unit might be, coordination of messages and personnel is crucial.

It is incumbent upon the music executive and the recruitment coordinator to devise a flow of information to faculty with names of inquiries, applicants, and accepted students. All stages in the admissions funnel provide opportunities to grow a relationship between the student and the school. From the inquiry and applicant stages to the audition and final enrollment decision stages, faculty need to be in contact with students in their areas to provide them with additional information and to answer questions. This can be done either through direct contact or with a series of personalized letters.

Organization of Recruitment and Admission

The music executive must first decide whose job it is to coordinate the unit’s recruitment efforts. Ultimately, the responsibility to see that the school is balanced falls with the chair. Realistically, the job is so complex that it makes sense to divide this crucial activity. How it is divided depends somewhat on the size and staffing of the unit and available support from central admission. Recruitment tasks may be assigned to one or several of the following:

1. A faculty member who has the time, people skills, and interest;
2. A staff member who has adequate knowledge of music to relate to the prospective students;
3. A professional recruitment/admission officer with a music and administrative background;
4. A member of the college or university’s admission staff who has the appropriate interest and background to work with music students;
5. The music executive.

The worst possible scenario is the absence of any plan at all. The faculty are told that they must recruit for their studio or program without any coordination, guidelines, or goals. This will lead to duplication of effort and ill will among faculty. It certainly will not yield a balanced student body. Another variation on this theme is that a plan exists but has not been

TABLE 1 The admissions funnel

Funnel stage	Larger school	Smaller school	Your school
1. Prospects	3,000	1,000	?????
2. Inquiries	2,000	600	????
3. Applicants	600	200	???
4. Accepts	300	100	??
5. Matriculants	150	50	?

communicated effectively to all involved. The department chair has expectations for the plan, but the faculty members are in the dark as to what these expectations might be.

The desired scenario, however, is that a plan is devised to meet the specific needs of your unit, and the faculty are informed about the overall plan and the role they will be expected to play in it. Faculty involvement is crucial but must also be organized, and a detailed plan must be agreed upon and disseminated so that their efforts are appropriately directed. Even if a professional recruitment officer is hired, prospective students will want to interact with faculty, both applied and program, since students choose an institution based on the instruction they perceive will be available.

The music administrator's role is first to understand the complexity of the process, then to allocate appropriate resources (financial and human) to ensure the success of the operation. The role of the campus admissions office staff is often underappreciated and underutilized in this challenge.

All colleges and universities have central admission offices. Coordination with this campus unit is critical and can be particularly useful for the smaller music unit that perhaps has to rely on a recruitment staff person or part-time faculty member. Often someone in the admission office has a background and/or a particular interest in music and can act as the liaison with the music unit. Additionally, students admitted to the music department (except perhaps at conservatories that offer their own music and academic courses) will need to be able to succeed in academic courses. Admission staff are trained to evaluate secondary and (for transfer students) college transcripts and standardized test scores (ACT/SAT and TOEFL for international applicants) to determine the applicants' expected success based on their academic records. International applications require additional steps and procedures that the campus admissions office will usually handle.¹

Sometimes in their zeal to attract the best musicians, faculty forget that once enrolled, students must be able to succeed in academic as well as music classes. Clear guidelines must be negotiated between the music executive and the dean of enrollments regarding the weight that demonstrated music talent and previous academic records play in making the admission decision. In turn, these guidelines must be clearly articulated and understood by the recruitment coordinator and key faculty.

The Recruitment Plan

The music executive, along with other key music faculty, must develop a comprehensive recruitment plan that fits the unique needs and opportunities of the music unit. The plan should start with an honest understanding of the strengths and weaknesses inherent in the

unit. The plan should also select specific strategies for attracting students and assign the various duties of the plan to appropriate faculty members. Finally, the results of each recruitment/admissions cycle should be systematically evaluated so that improvements can be implemented. While music units will differ by size and mission, these basic components can and should be part of the recruitment plan.

Scope of Recruitment (Recruitment Goals and Targets)

In planning for a successful recruitment operation, the music executive must make some decisions with regard to the scope of activity. The unit's strategic plan is often a guide for such decisions. Much depends on the type of institution in which the unit resides. For example, if the unit is in a community college, then the concentration will be primarily local. If, on the other hand, the college is private and church-supported, the area for recruitment may be delineated by the central administration. This is not to say that effort outside a particular geographic region cannot take place, but the thrust of recruiting activities likely will take place within a defined region. State-supported institutions also may have constraints, such as higher tuition for nonresidents, that make recruitment beyond state borders difficult.

Of course, if students seek out information on their own and choose to enroll, this is not a problem. For units with no geographic constraints, other obstacles may exist, such as limited budget for recruitment travel or advertising. Regardless of the size and scope of the department, a plan for recruitment activities should be implemented. For many music units it does not make sense to try to "recruit the world" if historically students have come from a limited area and a relationship exists between the faculty and teachers in this locale.

In creating the recruitment plan, a key element should be to set down target numbers for the various levels and areas of the program. If the unit has a graduate division, determine how many graduate students can be supported, as financial assistance is particularly crucial in attracting and maintaining this population. Beyond total numbers, the music executive should determine the ideal number of ensembles for the school. In larger units conductors and area coordinators need to participate in this effort. Smaller departments typically have only one large ensemble—orchestra, wind ensemble, choir, jazz ensemble—and perhaps some chamber ensembles.

Target studio enrollments should be determined with input from the studio faculty and ensemble directors. Enrolled students currently in studios along with optimal numbers for a recruitment season should be included in the count. Table 2 shows a sample chart that might be designed to help faculty see the recruitment needs for a particular year. Once optimal enrollment figures have been determined, the chair needs to discover the best sources for obtaining student names. This will be an evolving process, but it is strongly suggested that the recruitment coordinator annually examine records from the previous three years to see where enrolled students have come from and whether they were recruited as a result of private teacher recommendation, secondary school music teachers, school counselors, or SAT/ACT search lists (see Resources).

Initially, this information may not be available. However, as the unit develops a recruitment strategy, surveying applicants and matriculates is an important activity. The results of these surveys will begin to pay off in a few years and will help to strategize the recruitment operation. It is virtually impossible to gather too much recruitment and

TABLE 2 Examples of studio targets for music student recruitment

	Flute	Saxophone	Soprano	Tenor
Returning enrolled	5	5	15	16
New recruits	4	9	15	14
Yields	3	7	10	4
Orchestra	4	0	0	0
Wind ensemble	3	6	0	0
Concert choir			25	20
Jazz band	1	6	0	0
Totals	8	12	25	20

admission data, as analyzing past successes and failures will help shape all aspects of the recruitment process.

Selected Recruitment Strategies

Student recruitment can be like a black hole that if allowed can consume enormous amounts of time, energy, and resources. Ideas may be abundant but resources may be short. Therefore, the recruitment plan should be selective in choosing specific recruitment activities from the seemingly infinite set of possibilities.

These strategies should be progressive. Begin by making students aware of your music program, then invite students to make increasingly positive commitments. For the student the process starts with a simple request for information. Then the student may visit the campus, followed by the presentation of an audition and finally the decision to attend and pay tuition. Each step involves an ever deeper commitment between the student and the institution. Recruitment strategies may be crafted to fit the progressive stages in the admissions funnel.

General Awareness. Various forms of publicity have been effective in promoting general awareness of a music program. Print materials and online information about the music program represent important components of any publicity effort. Such literature should present the results of a realistic examination of the unit's strengths. For smaller units with limited budgets, advertising should focus on a comprehensive view of the program, as opposed to featuring individual faculty and programs.

Print advertising should target constituents who might become applicants. For example, if the department has a strong choral tradition, then advertising in choral journals is a good choice. Try to place print ads where they will be seen by both prospective students and music directors and where the "most bang for the buck" is likely. One good place where inexpensive print ads can be placed is in youth orchestra programs. Always look for "free" exposure such as PSAs (public service announcements) in state music journals, which will usually publish for free announcements about new faculty, coming events, special concerts, and so on.

Direct mail sent to student names purchased from the ACT or SAT is another long-standing strategy designed to introduce your school to many prospective students. Your admissions office may already participate in such programs and can assist you.

Tell the Music Unit's Story. When students first seek information, this is the invitation to “tell the story.” Initially this is often done through college or department literature and handouts. Remember, music students as a group seek more detail than basic university literature can provide.

Some type of prospectus that “tells the story” should be designed and sent to prospects and inquiries. The music unit may complete this step by itself, or in the case of smaller colleges, it may be advantageous to include music in the college’s view book. In either case, the music content should be written by the admission coordinator, the music executive, or someone who is completely familiar with the music department.

Some music departments have very elaborate view books giving every detail of the school; however, with the pervasive use of the Internet, it may be more advantageous to spend resources on the Web site, which can be easily and inexpensively updated, as opposed to a printed book that costs a great deal to reprint with every change in faculty. The Web site can also include small examples of ensemble performances. Ideally the prospectus should interface with the Web site so that actual print material can be kept to a minimum.

Auditions. Auditions play a vital role in the admission process. All students must perform an audition, and all performance faculty should be involved. It is incumbent on the music executive to inform all faculty about their involvement in auditions. This is especially critical in smaller music units where some of the applied faculty may be part time. Faculty should also have guidelines for feedback they give applicants regarding their admissibility and financial assistance. Typically these are institutional-level decisions of which the audition, though critically important, is only one aspect.

Audition requirements need to be carefully developed for every instrument/voice and published in the recruitment prospectus as well as on the Internet. A list of appropriate and suggested literature should be provided, along with the following information:

1. Will sight-reading and theory examinations be a part of the audition process?
2. Must music be memorized?
3. Are all instrumentalists/vocalists expected to have an accompanist? If so, will one be provided for live auditions? Will there be an accompanist fee?
4. When and where will auditions be held? Will there be auditions throughout the United States and perhaps abroad?
5. Are audio and videotapes acceptable if students cannot do a live audition?

Auditions are more than an opportunity to evaluate future students. They are also opportunities to convey recent information, answer questions, develop personal relationships, and encourage continued interest in the music unit. By orchestrating the many details involved with the audition, the department can optimize the next stage in the admissions funnel.

Scholarships and Financial Assistance. Probably more than in any other discipline, scholarship assistance is critical both to the prospective music student and to the music unit. Parents and even students themselves have invested in expensive instruments and years of private lessons, unlike those majors who have gained the requisite knowledge to enter college through class instruction in secondary school. In return for this investment, prospective music students and their parents often expect some type of financial reward.

Schools and colleges have many different policies that govern financial packaging. State schools often have legislatively imposed constraints that apply to all disciplines, making it very difficult to reward music students and to balance the music unit. Privately endowed institutions may have more flexibility in the way they distribute all types of funding, including scholarships, but they may also have very limited merit funding due to small endowments. There likely is no panacea unless the state support and/or endowment is very high. There's never enough money to go around.

The music executive must proactively engage in dialogue with the chief academic officer to devise a policy that will allow the music unit to be balanced and reward the most talented applicants with appropriate scholarship funding. An acceptable "discount rate" must be agreed upon by the top administration.

Close alliance with the institution's financial assistance director is critical as well. Providing music students with combinations of state (where available) and federal aid, need-based institutional funding, and music scholarships is the optimum arrangement. This enables music students to receive funding based on both need and merit. The music admission coordinator must be included in all institutional financial assistance decisions and must have access to the online financial assistance system to monitor both packaging and notification to applicants. Timing is very critical in granting scholarships and financial aid. Notification of the entire package should occur immediately after admission decisions have been made.

Music units with endowed scholarships should see that they go to the most talented students and that the recipients meet the profile the donor has specified. Since these are "hard dollars," endowed funds in a student's package should not be included when figuring the overall discount rate in the school. Unless the donor specifies that the scholarship goes to a new student, it may be advisable to grant endowed scholarships to upper-class students who have a proven record of music achievement. This approach can also help with retention.

Record keeping from year to year with regard to financial assistance and merit-based aid is very important, particularly if there is concern over the discount rate for the music unit. Working in a three- or four-year cycle can be helpful to the music executive. The following questions are important to ask:

1. What level of funding, both need-based and merit aid, has it taken to enroll a class?
2. Which studios historically require the highest funding level?
3. Which majors require the highest funding?

Determining the answers to these questions can also provide some answers to recruitment efforts, that is, are faculty and recruitment efforts occurring in the appropriate studios and majors? Analysis of this data over a few years can be extremely helpful and can form the basis for an acceptable aid formula. With an agreed-upon formula in place, granting merit/talent aid becomes much simpler, but gathering enough data to develop the formula will take a few years.

The scholarship and financial aid stage of the admissions funnel represents the penultimate level of interest and commitment. This phase of recruitment also provides the last opportunity to communicate the advantages of your music program to the student and his or her family prior to the admission decision.

Assignment of Duties

An important characteristic of successful music schools is the extraordinary commitment of music faculty to participate in the student recruitment program and the selection of their future students. Few disciplines in the academy have this privilege; most academic units allow the admissions office to represent them at arm's length. Music faculty, however, play a critical role in encouraging students and selecting some student applicants over others for admission.

All music faculty have an obligation to assist in the student recruitment process. However, some music faculty have greater opportunities than others to participate. The recruitment plan should serve as a playbook for the recruitment team and engage everyone in an appropriate role, assigning the following tasks to the most suitable faculty:

1. Who receives the inquiries?
2. Who will reply, and how quickly?
3. What materials will be enclosed, and what themes reinforced?
4. What invitations will be extended, etc.?

In a competitive recruitment environment, the music unit may achieve a comparative advantage simply by effectively coordinating these various components. Each unit representative should have the same understanding of the strengths and weaknesses of the unit (from the unit's strategic plan) and should positively reinforce the interactions of others on the team.

The larger the music unit, the more specialized these expectations may become. Increasingly, medium-sized or larger music units employ a professional music admissions specialist, someone to coordinate and execute the recruitment plan. In the absence of a recruitment specialist, the responsibility for recruitment should be assigned to one person who is charged with monitoring the many aspects of the system and gathering the desired historical data.

Evaluation of Results

Tracking recruits is crucial to analyzing the effectiveness of your student recruitment plan. How many inquiries become applicants? How many applicants are accepted, and how many of these choose to matriculate? Comparison of the answers to these questions from year to year can provide insight into problems or opportunities.

It is strongly recommended that the music executive interact with the information technology department at the college level and demand that the campuswide system take into account the needs of the music unit. Many data elements, such as instrument, intended major within music, secondary instruments, and online audition results, must be included in the online system to track students effectively through the admissions funnel. The evaluation of the student recruitment program demands that the appropriate data elements be selected and saved from year to year.

Depending on how "music-friendly" the admissions mainframe program is, the music unit should be able to download and use this data to obtain pertinent information and to generate letters to prospects, inquiries, applicants, and accepted students.

Music units should take advantage of any technology available on campus to help in the recruitment effort, since to develop this in-house can be cost-prohibitive for all but the very

largest music schools. In departments housed in smaller institutions without sophisticated mainframe capabilities, it may make sense to devise a very simple spreadsheet using off-the-shelf database or spreadsheet software. This step will be particularly necessary if the tracking program at the institutional level does not provide the data needed by the music unit.

Even for larger departments, it may make sense to develop an internal tracking system that will provide more detailed information such as teacher names and sources of initial inquiry (college fair, all-state list, etc.). These data elements would typically not be available on many institutional databases.

Whatever the size of the music unit, you will definitely want to track:

- How many high school seniors (juniors, sophomores, etc.) inquired? When?
- How many seniors/transfer students applied? When?
- How many applicants are accepted (by instrument/major)?
- How many accepted students are offered scholarships (by instrument/major)?
- How many accepted students matriculated (by instrument/major)?

In addition, you will want to track data elements such as:

- What was the source of the student's first contact with the school?
- What is the student's principal instrument, secondary instrument, major, and minor?
- What is the name/address/e-mail of the student's school music teacher?
- What is the name/address/e-mail of the student's private lesson teacher?

Technology

Once the recruitment plan is created and implemented, technology can be used to execute the plan and track its results. A basic premise of our definition (right message, delivered to the right student, at the right time) is the importance of personalization. Music programs that offer a good fit for the student's needs should develop greater interest and commitment than those that don't. Gone forever are the days of bulk letters addressed to "Dear Student." Personalized mail merge is now a minimal expectation of every student recruitment plan.

The next level of technological complexity is "boilerplating." This feature allows variable paragraphs to be inserted into student correspondence to match specific student characteristics or interests.

After "boilerplating," computer workflow applications can automate "personalized" correspondence with prospective students over time. Some home-grown computer applications connect the information entry operation with automated letter generation capabilities. Sequential letter generation at prescribed time intervals may also be desired and possible. Such systems offer enhanced productivity and effectiveness by sustaining a personalized relationship over the duration of the recruitment calendar.

More recently, campus admissions systems have deployed Web-based interfaces. Students can make inquiries directly on the school's Web site and receive instantaneous replies or confirmations via e-mail. There are no delays due to mail deliveries, and staff can attend to more pressing needs than data entry operations.

Since few music units employ technology specialists to manage their communications, partnering with such specialists in the office of admissions often proves useful. A range of cooperative stances exists, from the admissions office doing everything (via direct access to a

mainframe program such as PeopleSoft), to the admissions office sharing a selected packet of student data elements, to the music unit taking full responsibility using spreadsheet or other off-the-shelf database applications.

In short, technology pervades the entire student recruitment operation. From tools that personalize messages to tools that accelerate our response time and track our communication history, technology is often the key to delivering the right message to the right student at the right time.

Summary

By assigning available recruitment strategies to the various stages of the admissions funnel, the overall recruitment plan starts to materialize, as shown in table 3.

“Student recruitment” is a construct that consists of many steps, parts, processes, and people. This chapter has articulated many of these and has also tried to provide the reasons for selecting one strategy over another. Three aspects of student recruitment are crucial: (1) student recruitment is complex and demands attention to detail at every step, (2) student recruitment demands collaboration and coordination among everyone involved if it is to have any chance of success, and (3) the student recruitment plan is always a work in progress and demands constant attention, evaluation, and improvement.

In closing, all music schools and faculty need to be aware of a code of ethics that exists at several levels with regard to “fairness” in recruitment practices. The two most

TABLE 3 The admissions funnel with selected recruitment strategies

Funnel stage	Larger school	Smaller school	Your school
1. Prospects	3,000	1,000	?????
Strategies to draw attention to opportunities at your school and result in inquiries ↓	Summer camps Journal ads Direct mail Music visit day Meeting exhibits Web site offers	High school posters Names from alumni Web site offers Ensemble tours Faculty guest conductors	????
2. Inquiries	2,000	600	????
Strategies to encourage students to apply and audition ↓	Music viewbook Personal letters Music literature Admissions reps Telephone reminder Audition program	Campus viewbook Personal letters Telephone reminder Audition appointments	???
3. Applicants	600	200	???
4. Accepts	300	100	??
Strategies to encourage accepted students to matriculate ↓	Scholarships Follow-up letters Telephone calls	Scholarships Telephone calls Letters from alums	?
5. Matriculants	150	50	?

commonly followed codes are those published by NASM (National Association of Schools of Music) and NACAC (National Association for College Admission Counseling). Even if your school is not a member of either of these organizations, students will be cross-applicants in schools that are members, and therefore, in fairness to students, a summary of NACAC's *Statement of Principles of Good Practice*² should be placed in the hands of all music faculty and applicants. This details the applicant's rights in the admission process. NASM's Code of Ethics is included in their *Handbook*,³ which is revised and published annually. Articles IV, V, VI, and VII address ethics in recruiting.

The music executive is ultimately responsible for the allocation of scarce resources to ensure a critical enrollment, a critical mix of instruments and majors, and the highest standards of quality possible.

Appendix A: Student Recruitment Checklist

1. Does your unit's strategic plan establish optimum goals for enrollment?
2. What are areas of enrollment strength and weakness for your unit?
3. Is there coherence between faculty expectations and reality?
4. What will be the scope of your recruitment operations?
5. Have you shared the appropriate standards of ethics with your faculty and staff?

6. Who will be assigned oversight of your recruitment operation?
7. Has a recruitment plan been formulated?
8. Has a recruitment plan been communicated to everyone?

9. What strategies have been implemented to increase the awareness of your unit?
10. What strategies have been implemented to tell your story?
11. What strategies do you employ during auditions to reinforce your positive message?
12. How will you assign music scholarships and financial aid?

13. How will you gather the critical data elements needed to evaluate the operation of your student recruitment plan?
14. From the data that you have accumulated over the years, what changes do you recommend?

Appendix B: The Ten Most Important Things I've Learned About Student Recruitment

1. Be honest about all offerings and opportunities at your school
2. Show a personal interest in your students
3. Be positive
4. Talk to parents
5. Get organized
6. Involve your current students—ask them what counts
7. Follow up is important
8. Listen to your prospective students
9. Make students feel comfortable, at home
10. Communicate, communicate, communicate⁴

Notes

1. NAFSA: Association of International Educators describes federal regulations dealing with international students at their Web site, www.nafsa.org.
2. National Association for College Admission Counseling, *Statement of Principles of Good Practice* (Alexandria, VA, 2004), www.nacacnet.org.
3. National Association of Schools of Music, *Handbook* (Reston, VA, 2003).
4. Richard Kennell, “The Most Important Things I’ve Learned About Student Recruitment,” unpublished workshop participant survey, Music Recruitment Workshop, DePaul University School of Music, 2005.

Resources

The College Board
11911 Freedom Drive, Ste. 300
Reston, VA 20190
Phone: (800) 927-4302
Fax: (800) 380-3315
www.collegeboard.com
Student Search Service

ACT
500 ACT Drive
P.O. Box 168
Iowa City, IA 52243-0168
Phone: (319) 337-1000
www.act.org
Education Opportunity Service

Chapter VI

Music Curriculum

*Robert J. Werner, Dean Emeritus
College-Conservatory of Music, University of Cincinnati*

Introduction

As pointed out in Chapter II, “design of the curriculum and development of educational policies lie at the heart of the academic enterprise.” Understanding and implementing this important responsibility is fundamental to the success of a music program. A sequential series of courses and experiences are what we know as “the curriculum.” In higher education curriculum design is acknowledged to be the faculty’s responsibility, but the music executive is also obligated to be sure that each curriculum is in keeping with the accepted national norms as delineated in the accreditation standards of the National Association of Schools of Music (NASM).

Regardless of NASM membership status, it behooves the music unit to observe these standards, which have been developed over many years by the Association’s member institutions. They represent the agreed-upon norms for each area of the discipline.* Many faculty members might not be fully aware of these standards except possibly at the time of accreditation or renewal of NASM membership. The music executive has the primary responsibility of overseeing the various areas of professional and service curricular offerings and bringing these standards to the attention of the music faculty.

Administrators at all levels must also be fully aware of their institution’s mission and goals. These objectives become the foundation upon which all units—whether college, school, or department—should develop their programs. In designing either degree programs or service courses that support the general university constituencies, such an approach becomes particularly important.. The music executive serves as the intermediary between the music unit’s faculty, the dean, and all other university administrators in order to assure that these standards are met. As such, he or she is expected to be both a facilitator and, when necessary, an initiator of courses and curricula as appropriate to the institution’s overall mission.

Normally music units have an elected faculty curriculum committee, or two if the size of the programs warrants: one for undergraduate matters and another for graduate. The primary responsibilities of such committees include reviewing proposed new courses and degree offerings, eliminating current courses or degree programs if necessary, assuring the proper sequencing of offerings, and assessing the professional relevance of each degree program on a regular basis. They should also work closely with the music executive to be sure that needed resources are available. Thus, the administrator should be an *ex officio* member of all such committees. The committee’s recommendations are then taken to the full faculty for discussion and action.

* The NASM handbook that contains these standards may be downloaded by going to <http://nasm.arts-accredit.org> and then to “Membership Procedures,” where a PDF version is available.

Curriculum committees and administrators must seriously consider each new course proposal as to whether it complements or replaces current offerings and if it will substantially improve the overall curricular offerings. They should also determine if there would be sufficient need and interest to sustain enrollment and the potential impact on other courses. They should also consider whether instruction of the course will affect faculty loads so much that courses already being offered or required could be disrupted. Finally, the committee's responsibility includes being aware of all resource implications, such as financial, facilities, and personnel. The administrator should be able to assure the committee that the support required would be available at the time the course or degree program is offered.

In order to provide an appropriate basis for required curricular offerings, especially basic musicianship courses, faculty should be aware of the level of competencies shown by entering students: undergraduate, transfer, and graduate. Most institutions require applicants to take a series of tests during the admissions and audition process to assure a minimum level of background for entrance-level courses. Remedial instruction, if needed, should be made available if it represents the mission of the institution. In planning curricula and courses, faculty must acknowledge the diversity of background, aptitude, and talent of entering students at every level—a particular challenge when enrollments are small and all students have to be accommodated in the same class, and also for faculty who teach these courses.

The music executive should regularly review all printed documents, catalogues, or other publications to be sure that their descriptions of courses and curricula accurately represent the offerings. These documents can be considered a “contract” with students at the time they enter the program and therefore become the basis for student planning and advising that then lead to the successful and timely completion of their degree programs.

The professional literature contains countless articles and books on curriculum. They provide a comprehensive view of curricular concepts and strategies over several decades. Many national programs have led to the revision of music offerings over the years, but the period from the 1960s and through the present has been particularly active in this area. The music executive should be well versed in this literature and the implications these approaches may have for the various types of programs and courses for which they are responsible in support of the unit's mission. It is not the purpose of this chapter to review various curricular concepts but rather to discuss the framework necessary to support whatever curricular offerings are agreed upon by the music faculty and approved by the administration at all levels.

Academic Programs

One of the important obligations of the music executive, particularly when he or she is new to a position, is the review of the efficacy of the degree programs being offered, the courses that support them, and the opportunities available for the general student. The executive should guard against the tendency to add programs without assuring their need or the amount of support they would require.

Faculty at times can be rather myopic in their view of the *entire* music curriculum. Administrators may face a considerable challenge in the rather proprietary attitude of some, particularly senior faculty. Understandably, they often zealously protect courses that they have taught for years as to content and focus. Faculty members also may wish to add courses

and programs that will provide them with more of an opportunity to work with students who have a particular interest in their subdiscipline.

The music executive must make sure that careful attention is given to all curricular requirements as to what they entail in regard to faculty assignments, scheduling, the particular needs of the constituency to be served, and the resources that each degree program requires. Faculty members sometimes may have as their reference the music units from which they earned their degrees rather than what would be the most appropriate programs for the music unit in which they are now employed.

The administrator is responsible for awareness of how a given course or series of courses complement each other so as to meet the appropriate educational objective. In reviewing proposals the faculty curriculum committees should work with the administration in considering all aspects of a given proposal. However, far too often a quid pro quo exists among faculty that makes rejection of another's proposal quite difficult.

As stated before, each music unit must clearly define its mission and objectives so that they may provide a clear-cut foundation for proposing and reviewing any new curricular offerings or eliminating old ones. Within some state systems new degree proposals must undergo not only a local campus review but also a systemwide review and comment by all other state institutions offering similar programs. Therefore, the music executive must be aware of the missions and offerings of all institutions within the state system and often those in the region as well.

Baccalaureate Curricula

The music executive should know the basis for and the history of music instruction in higher education. The formal study of music came to us from European conservatories and universities. The conservatory's primary mission was to train both composers and performing musicians who would become members of their nation's orchestras and opera companies. These institutions did not give baccalaureate degrees but rather recognized the completion of study by awarding a certificate. The university, on the other hand, concentrated on the historical and analytical studies of music. Thus a dichotomy existed between the students enrolled in the conservatory, who were taught to perform or create music, and the university student, who was educated to examine and research music. Additionally, in the United States music teachers were trained in the state's teacher training institutions, often known as "normal schools."

This duality in type of musical study was still evident in the United States in the late 1940s, a time that was to some extent still influenced by the eastern liberal arts institutions. Professionally this situation was represented by two organizations formed at that time to promote the study of music within the liberal arts format, the College Music Association and the Society for Music in Liberal Arts Colleges. In 1957 they would combine to become the College Music Society, which today represents all areas of musical study, along with NASM, which was founded in 1924 to assure national standards for music curricula.

A significant contribution of music programs in the United States was to define and combine these two approaches to music study by implementing a more liberal arts-based approach, leading to two types of "music major" degrees: the traditional Bachelor of Arts degree in music, and the development of the professionally oriented Bachelor of Music, which in effect replaced the conservatory certificate programs. Each degree can have an important place in an institution's mission. Since most professional music programs have

moved from the independent conservatories to the present-day comprehensive universities and colleges, these programs have included liberal arts or “general studies” to broaden the musician’s education. The constantly evolving NASM accreditation standards that define the parameters for each area of study reflect this development.

The two types of degree differ in the amount of music courses taken and the focus of curricular requirements. The professional degree, the Bachelor of Music, should normally take at least 65 percent of its coursework from the discipline, based primarily on a core group of musicianship courses. Specific degrees concentrate on areas such as performance, composition, and so on. When baccalaureate degree programs are intended to combine two areas such as performance and pedagogy, they must allow for competencies in both areas. It is recommended that all degrees develop teaching skills appropriate to the major area.

The general standards for the 120-semester-hour (180-quarter-hour) professional Bachelor of Music degree are distributed as follows: major area of specialization 25 to 35 percent, supportive courses in music 25 to 35 percent, general studies 25 to 35 percent, and electives 10 to 15 percent. Some adjustment of the distribution may occur in areas such as jazz studies, pedagogy, music therapy, and music education. Again, the music executive should review the national norms established by the NASM member institutions for each degree offered.

Music education degree programs should at a minimum be composed of 50 percent music courses, as these programs must also accommodate courses with a specific educational focus such as methods and philosophy, as well as other requirements for state certification. Normally these degrees will be titled Bachelor of Music in Music Education or Bachelor of Music Education. Degrees in music therapy also require only 50 percent of courses to be taken from the discipline to complement those requirements needed for licensure. Bachelor of Music degrees that indicate “with Emphasis in ____” or “with Elective Studies in ____” shall also require a minimum of 50 percent of the coursework to come from the field of music.

Some institutions are authorized to offer only professional degrees under the Bachelor of Arts or Bachelor of Science designation. When this is the case, the degree content should still conform to the percentages expected of professional degree programs. Recently, the degree Bachelor of Musical Arts has been developed to signify the addition of studies in an area outside of music so as to advance the student’s interdisciplinary competencies. This requires at least 50 percent coursework in music and 15 percent in the supportive discipline.

The liberal arts degree contains fewer courses in music, usually 30 to 45 percent, with the remaining courses having more of an emphasis on general studies. These degrees carry the title of either Bachelor of Arts in Music or Bachelor of Science in Music.

Some four-year and comprehensive institutions also offer two-year degrees; when they do, these programs should conform to the guidelines for two-year degrees offered by community or junior colleges. National standards for programs intended for transfer to a baccalaureate program should be the equivalent of the first two years of core musicianship studies, including at a minimum theory, studio instruction, and performance ensembles. Support for two-year programs should include a qualified faculty, facilities, appropriate library holdings, and financial stability. An important part of the mission of institutions offering these degrees should be to provide musical studies and opportunities for the general student. Since admission is usually open to all high school graduates, students majoring in music should be tested for their aptitude for undertaking professional studies and be provided remedial instruction when necessary. Student advising is most important for successful transfer to upper division studies or vocational programs.

All baccalaureate degrees in music must satisfy the basic requirements in performance, musicianship, music history, and supportive areas such as technology and pedagogy. If the institution has a mandated maximum number of hours/credits for all baccalaureate degrees, the music unit will have to be sure that all required courses are accommodated, often through rather “creative bookkeeping,” such as a music history course being counted as a humanities credit or a music technology course fulfilling a general technology requirement. In some institutions certain music education courses may be accepted to meet state certification or college of education requirements. Needless to say, this necessitates skillful negotiation by the music executive.

A variety of certificate or diploma programs are offered at both the undergraduate and graduate levels. Such programs most often concentrate on performance, indicating a level of accomplishment beyond the usual degree requirements. Published materials should make clear the criteria that will be used to assess the awarding of such distinctions.

Each music unit has an obligation to offer music courses and experiences for the general college student (non-major). Today it is becoming even more essential that music faculties assume the responsibility for developing musical understanding and participation among the general public represented by these students. Many performance ensembles are open to qualified students, and sometimes studio instruction as well. The music executive should take care to assign faculty to “non-major” courses who have both the skills and commitment necessary to enable these students to develop a mature musical understanding since they will become the potential audiences and supporters of “concert music” in the future. The music unit should engage the campus, local, and regional communities through performances and other opportunities that lead these constituencies to a greater appreciation of the art of music.

At times it can become necessary for the administrator to encourage the music faculty to rethink the purpose of the service responsibility they have to the general university students by providing musical offerings that develop insight and self-knowledge not duplicated by any other subject in the curriculum. Music executives and faculty members should also be aware of any curricular offerings in other areas of the institution, such as the humanities, social sciences, and technology, that might complement the music curricula. By developing a dialogue with other disciplines, many times the music curricula can be enriched and made more relevant to the students and faculty in these areas. Faculty members are expected to support the careers of their graduates, but often they, and hence their students, are so singularly focused that they can ignore the most important part of a professional education: the development of a more comprehensive view of the society in which they live.

Graduate Programs

Graduate degree programs should not be offered unless demand is sufficient to ensure a community of students capable of advanced work and the faculty includes members capable of graduate-level teaching in each area where degrees are offered. Faculty members must serve as models of advanced accomplishment as scholars, performers, composers, and/or teachers. Since national standards require that “at least one-half of the credits required for graduate degrees must be in courses intended for graduate students only,” it is incumbent upon the music executive to ascertain if the necessary resources are available to offer these degrees. Admission standards should be such that students admitted to graduate study have

the appropriate preparation to successfully complete the degree requirements of the program.

A general master's degree in music is usually designated as either a Master of Arts in Music or a Master of Science in Music. The degree program should be divided into one-third core curriculum music courses, one-third other studies in music, and one-third elective studies. The professional master's degree is practice-oriented, research-oriented, or a combination of the two. It should require one-third of coursework to be in a major field (performance, theory, etc.), one-third in other studies in music, and the remaining third in elective studies. This degree is known as a Master of Music with the field of specialization usually also designated.

The Master of Music degrees also have specific terminal requirements such as a recital, a staged performance, conducting opportunities, or research and thesis. The faculty must be willing and able to provide support such as advising and serving on student graduate committees. These requirements, which affect faculty loads, should be seriously considered when determining whether to offer these advanced degree programs.

There are other post-baccalaureate programs such as the Master of Arts in Teaching, Master of Fine Arts, Master of Musical Arts, and Specialist degrees. In each case standards for these degrees should be carefully examined before offering them as part of a graduate program in music. Some music units offer an artist diploma in performance, considered the equivalent of an additional year of study beyond the master's degree.. This program, which seems particularly attractive to students in such areas as voice and piano, can provide an opportunity for a student to develop more advanced professional skills without the added requirements of the Doctor of Music Arts degree..

Doctoral degrees should be offered only by those institutions with the resources and commitment necessary for this level of advanced work and then only in those areas of the discipline that are appropriate to the resources of the music unit. Many states designate only certain institutions that may offer the doctoral degree. These degrees fall into two categories, the research-oriented Doctor of Philosophy and the practice-oriented degrees such as the Doctor of Musical Arts, the Doctor of Music Education, or the Doctor of Education in Music Education. In a few schools the practice-oriented designation used is the Doctor of Music, but normally this title is reserved for an honorary degree in the field. Doctoral degrees are primarily intended for those students who are preparing for a career in academia.

Once again, the music executive and the faculty must be aware that graduate studies require considerable resources in the way of continuing budget support, facilities, library collection, technology, and the appropriate number of faculty specialists needed to offer specific degree programs. A rigorous music unit review of all degree and course proposals is important so as to maintain the highest professional standards and to meet accreditation standards.

Faculty

It cannot be emphasized too strongly that all curricula, in the final analysis, are dependent upon faculty performance. No matter how well articulated the goals of each course or degree program are or how precise the syllabus may be, what happens in the classroom, the studio, and the rehearsal hall is truly "the curriculum" where the student is concerned. Thus, the music executive has the important responsibility of seeing that the most qualified faculty member is assigned to each of the course offerings and other degree requirements.

This task can be particularly challenging in a smaller department that requires most faculty to be qualified to teach in more than one area of the curriculum. It also requires the building of a team effort to ensure the continuity expected in each curriculum, which music executives, especially new ones, can find challenging. It can take years to develop an effective faculty team where each member plays a significant role in the overall professional educational experience. The team will also continually need adjustment as retirements, resignations, and attrition due to budget cutbacks or tenure not being granted can affect the overall faculty balance and strengths.

For successful team building, one must attempt to make the best use possible of the wide range of faculty members' backgrounds, experience, and ability so as to provide the most effective sequential set of learning experiences throughout each degree program. This criterion also plays an important role in hiring new faculty. The full extent of the position's teaching responsibilities should be clearly defined when developing the job description. Throughout the search and when making the final decision, the specific competencies of the candidates in these various areas should be foremost in each faculty appointment.

In the smaller department faculty often must be able to teach in several areas, particularly for entry-level faculty positions, which are usually assigned these multiple instructional responsibilities. Unfortunately, most graduate programs, especially at the doctoral level, do not adequately prepare graduates for such diversity of teaching. National standards now emphasize the responsibility the music unit has, particularly with graduate programs, for requiring supervised teaching experiences, in one or more areas of the discipline, for all students aspiring to obtain a faculty position in higher education.

Generally the appointment of studio faculty members is prioritized based on the specific needs of the performing ensembles. These faculty members then are expected to teach in academic areas such as theory, history, or music education when they may have had little or no supervised teaching experience in these areas. Therefore, candidates' backgrounds must be carefully examined as to their ability to fulfill these responsibilities as effectively as possible. Mentoring of new faculty should also be provided, particularly when multidisciplinary assignments are necessary.

Some Concluding Thoughts

As has been stressed throughout this chapter, the music executive must have a thorough understanding of the mission and goals of the music unit and the entire institution. This awareness will provide him or her with a clear focus for the review of current and future curricular considerations and serve as a constant reference for all curricular decisions. The music curriculum should not be allowed to become static; rather, it should be regularly reviewed and assessed for relevance in preparing music professionals to work in their chosen field. We have not tried to duplicate the extensive discussion of national standards contained in the *NASM Handbook* but rather to highlight those areas that should be given particular attention by the music executive, especially when assuming a new position but also throughout one's tenure in administration.

Resources will determine the support that can be given to any curricular offerings. The most important are the human resources represented by the faculty (both full-time and adjunct), graduate teaching assistants, and staff. The availability of adequate personnel resources has to be carefully monitored by the music executive, since they can be seriously affected by such things as sabbaticals, personal leaves, and for younger faculty their concerns

about fulfilling promotion and tenure criteria established by the faculty and administration of the music unit.

Central to most administrative considerations is the adequacy of the annual and continuing budgets. The music executive is responsible for the allocation of these monies, which therefore becomes a tangible expression of the mission of the unit and in some ways the priorities of the unit's administrator. A major portion of funds in most institutions comes from an FTE (full-time equivalency) formula based on student enrollments. Since music requires a good deal of one-on-one instruction, the executive must be sure that the institution's allocation formula takes this into consideration. See Chapter VII for a more complete discussion of the music budget.

Facilities, equipment, and technology are all important for the successful implementation of curricula. Having a sufficient number of specific-use facilities, such as studios, rehearsal halls, and performance venues, is also critical for optimal results. They should be considered music's "laboratories" and as such their availability should be the responsibility of the music unit.

Almost all of the topics discussed in this volume have some impact on music curricula as they affect the development and implementation of each curriculum in some way. Educational institutions, and faculty in particular, can often be quite resistant to change. A large part of a musician's training is how to be conservators of the past; hence their roots are to some extent still in the "conservatory." As music executives take on the challenges facing music programs, they have the responsibility of anticipating what today's students will need for success, if not survival, in the future. Today's music curricula should be shaped not only by the past but also by a professionally considered perception of the future.

Effective professional curricula require a creative administration and a faculty willing to risk change. The music executive often faces the significant challenge of persuading colleagues that providing a realistic definition of their mission is a necessity. Likewise, institutions gain from more imaginative approaches to curricular planning that recognize the partnership between all aspects of musical instruction in the preparation of a successful graduate. All members of the music unit's community have a stake in providing the most effective curricula possible for the future professional musician and their constituencies. The success we have in achieving this goal will certainly have an important influence on the future of the art of music in our society.

Chapter VII

The Music Budget

John J. Deal, Dean

School of Music, University of North Carolina at Greensboro

Introduction

As sure as the day is long, someone will come to your office today needing, wanting, or, worse, demanding money—funding for a project, dollars for travel, an increase in salary. If you are lucky it will be only one person; perhaps it will be as many as five or seven if you work in a large institution. As the music administrator, one of your primary responsibilities is to manage the budget for your unit. These dollars may come from the state (if you work in a state-assisted institution), or they may come from endowments or other private funds. Most likely, you will have dozens of different accounts to reckon with, and in larger units the number will run into the hundreds.

What exactly is a budget? Krawitz (2003) states that it is “the numerical representation of an action plan for a specified time period.” Another definition is simply an estimate of income and authorized expenditures. A budget generally shows income and expenses over at least three major categories: personnel, operations, and capital costs (i.e., facilities and major equipment). The specific time period is almost always the fiscal year. This may vary among institutions but is usually the period from July 1 through June 31. The term FY07 would mean the fiscal year beginning July 1, 2006, and ending June 31, 2007.

Budgeting in the music unit is a multifaceted process, but it consists essentially of matching planned uses of funds to the reserves available (Krawitz 2003). Beginning with the budget development process, which may emanate from a higher authority in the institution, and progressing through the day-to-day management of the budget, the music administrator has the responsibility of overseeing the unit’s resources in a responsible fashion. This task is viewed by some as “the most powerful management tool available to academic administrators” (McCorkle & Archibald 1982, p. 77). This management of resources is “more than acquiring resources and the traditional budgeting activities of assessing needs and allocating people, space, time, and money to them. It emphasizes anticipating likely resource levels, reallocating and ‘deallocating’ resources, and finding ways to make better use of present resources through more sophisticated financial management, accounting, and performance assessment” (Ibid., p. 78). The responsibility of managing resources is one of the weightiest tasks a music administrator faces.

Despite its importance, however, budget management is one of many things you probably never learned on the way to your current position. “Most program managers, principal investigators, division leaders, and department chairs are bright, capable, and competent persons in their field of expertise. However, when appointments are made to administrative posts in higher education, new academic managers often come to their positions without much experience in fiscal management and administration” (Barr 2002, p. ix). Because few music executives start out actually wanting to be administrators, courses in accounting and finance have seldom been squeezed in among the theory, history, and

pedagogy classes. Thus, most administrators must learn budgeting on the job, which is potentially a very dangerous place to learn such skills. “Administration catapults one into a work environment that can quickly become difficult, bewildering, and even dangerous to one’s career. Most newly appointed administrators are amateurs—gifted amateurs, but amateurs nonetheless. They have much to learn quickly about leadership and followership, about planning and affirmative action, and especially about the management of money” (Vandament 1989, p. ix).

This chapter will provide some basic information for music administrators with the goal of preventing some of the mistakes and pitfalls that many have experienced. It will cover topics such as the basics of budgeting, types of funds, the budget development process, managing the budget, budget software review, pitfalls and advice, and, yes, the inevitable process of cutting the budget in times of financial difficulty.

Basics of Budgeting

It is tempting to end the chapter quickly by stating three principles:

1. Amass as much discretionary money as possible.
2. Know how much money you have to work with at all times.
3. Never spend more than you have.

While these are excellent suggestions for the music administrator, accurately summarizing the general process of budgets, they do not cover adequately the many intricacies involved in preparing and managing budgets for the contemporary music unit.

The annual budget proposal procedure is just as inevitable as death and taxes. Realistically, “budgets would be unnecessary if sufficient resources were available to satisfy the needs of everyone in an institution. Only an accounting system would be needed to track allocations and expenditures” (Meisinger 1994, p. 1). Of course, resources are seldom sufficient to fund all programs to the extent desired, so the process of budgeting also serves as an important way to determine where a music unit is headed and what its faculty and administration value.

The music unit budget serves a number of purposes (Meisinger 1994, p. 1):

- A mechanism for setting priorities
- An institutional plan of action
- An institutional contract
- A control mechanism
- A gauge of risk
- An instrument of communication
- A political device

Preparing a budget requires considerable decision-making about the priorities of the music unit. This seemingly obvious statement constitutes the author’s *Critical Point #1: The most effective management of resources occurs when the budget is inextricably linked to the unit’s strategic plan.* (If you and your faculty have not engaged in strategic planning to chart the course of the unit, *do it now.*)

While one can assert that Program A may be a high priority in the unit, only when Program A receives appropriate budgetary support do the faculty recognize its priority in the system, for, once faculty have determined that Program A is a priority goal, the allocation of resources to Program A will be expected. After the budget has been established and priorities set, the budget serves as a plan for how the fiscal year will play out and how the unit funds will be spent. The budget also serves as record of agreement with regard to the unit's priorities as planned. Further, the budget provides a control mechanism, ensuring that money for top-priority goals will not be squandered on items that are not such high priorities.

Before moving ahead with more details of the budget development process, it is important to consider budgeting strategies. There are at least seven types, discussed in more detail in the following paragraphs. (Note: more extensive discussion of these types can be found in Meisinger [1994].)

Incremental Budgeting

Incremental budgeting is the preferred (and, perhaps, default) method of budgeting in most music units. "Planning in colleges and universities, as in other nonprofit organizations, is often a zero-sum game because opportunities for major resource infusions are rare" (Vandament 1989, p. 29). Surely this statement has proved true in recent years as more and more institutions have experienced not only flat budgets but all too often decreasing resources, especially from state funds. The pattern of expenditures for music units is largely determined by continuing commitments, such as faculty salaries and benefits. In some units as much as 80 or 90 percent of the annual budget is already committed to faculty salaries and benefits, leaving available only a very small percentage for other uses.

The general stability of the workforce in music units from year to year allows little flexibility for allocating resources to new or different purposes. Reallocation of funds can be achieved only by reducing or eliminating other funds. For example, if a decision has been made to increase the amount of funding for faculty travel, but the unit has not received additional funds, something else must be decreased in order for additional funds to become available for this purpose. In such a scenario the interests of some may be affected adversely to free up sufficient travel funds for faculty. This can be a difficult decision, but fortunately, the distribution of funds among items and programs seldom changes radically from year to year.

An obvious disadvantage to such a budgeting strategy is that it does not examine the budget base and the recurrence of existing fiscal commitments. Incremental budgeting has also been criticized for being driven more by political demands than by the careful analysis of existing programs and their related costs.

Management by Objectives

The management by objectives (MBO) strategy requires that the music unit faculty determine its goals and objectives as well as the costs associated with those goals. This is probably not the budget process of choice among most music units, but there is value to be gained by going through this process every few years. MBO ensures that the priorities of the unit, as represented by its stated goals and objectives, are still the priorities of those people involved in the institution. Although a time-consuming process, MBO provides a valuable

opportunity to review periodically the direction of the unit in light of the resources available to support such aspirations.

Unfortunately, goals are frequently driven from the top down, while objectives for meeting those goals are determined at successively lower levels. Additionally, achieving consensus on clearly defined goals is often difficult. Nevertheless, MBO budgeting is an important exercise for faculty and administration to experience.

Zero-base Budgeting

In zero-base budgeting (ZBB) budget accounts are reset to zero each year. The new budget is then based on a completely new reallocation of funds for each program and area, following an evaluation of each area's previously established goals and objectives. Although similar to MBO, zero-base budgeting is done every year and is a time-consuming task. ZBB is most effective when the resources allocated to the music unit each year are not static and when a request for additional funds (or at least a different division of those funds) has true potential to produce additional resources. The obvious disadvantage of a pure ZBB system is that it fails to consider actual budget history, thus ignoring ongoing situations and needs that cannot be altered in a short period of time. One viable option is to identify the percentage of the budget that is fixed and ongoing and the percentage that is flexible. The fixed portion can carry forward from year to year, while the flexible portion can be determined via the ZBB method.

Utilizing a ZBB approach in the music unit is not particularly easy, given the recurring commitments to faculty salaries and benefits that claim a high percentage of the unit's budget. Although a logical and sequential process, its usefulness in the music unit is limited.

Planning, Programming, and Budgeting Systems

The planning, programming, and budgeting systems (PPBS) strategy, developed in the 1960s, examines both the costs and benefits of individual programs and activities, linking the planning process to the allocation of resources. Thus, allocations are based upon the substance of each program and its worth to the unit overall, as evidenced by a comparison of program and cost. Alternate methods for achieving planned goals are considered relative to their costs, with the method that achieves the goal with the least expenditure being selected. PPBS can also be a complex method of budgeting, as it may be difficult to determine actual costs in relation to benefits accrued.

In higher education, and particularly in a music unit, it is also often difficult to separate one program completely from other programs. For example, there are degree programs, internship programs, ensemble programs, and a host of others. Seemingly distinct programs may have significant cross-connections. The allocation of resources to organizational units, rather than to programs, may be more effective.

Performance Budgeting

Performance budgeting, in contrast to most of the previously described methods, focuses on activities more than objectives. The ultimate goal of this type of budgeting is to improve efficiency, so resources are directly related to activities and results. Performance budgeting can be helpful if a music unit seeks to increase the measurable levels of performance among its fundable units. Those that perform best receive greater shares of the available resources.

A major downside of such a strategy, of course, is that a unit that falls behind will begin a gradual downward spiral from which it may never recover. Given the unique nature of music instruction (i.e., one-to-one), the wise music executive will do all in his or her power to negotiate continued baseline support for the unit from the beginning, thus alleviating some of the fluctuation inherent in this process.

Formula Budgeting

Formula budgeting allocates resources on the basis of the relationship between program demand and program cost, usually through enrollments or student credit hour generation. It is more common at the system or statewide level and is generally not used as a means to distribute resources within an individual unit.

Responsibility-Centered Budgeting

Responsibility-centered budgeting (also known as cost-center budgeting) is based upon the relative ability of a unit or program to be self-supporting, that is, every unit “being a boat on its own bottom.” This type of budgeting process has become increasingly popular, particularly among very large institutions. Under such an arrangement, units receive a proportional share of all income coming into the university, for example, tuition, grant funds, gifts, and endowment income. On the other side of the ledger, those same units then must share the expenses of central services, for example, library, technology, physical plant, utilities, and general administration. Any surpluses at the end of the year can carry over to the next year, but deficits become liabilities against the future year’s budget.

Responsibility-centered budgeting has the obvious tendency to create competition among units for revenue enhancement. Music units may or may not have an advantage in this scenario, although income from ticket sales and honoraria for performances provides a source of funds not available to other units on campus. The danger with this approach is the strong tendency to focus attention solely on the bottom line rather than on academic programs and priorities. Moreover, the high cost of individual instruction relative to the number of student credit hours generated can easily place the music unit at a huge disadvantage unless this situation is factored into the budgeting system.

Often, the type of budgeting prevalent in a music unit is determined by the music administrator in consultation with others in the unit who hold leadership positions, such as coordinators, division/department chairs, and so on. On some campuses, budget development processes established by the dean, the provost, or the president prescribe certain methods of developing the budget for the music unit. A new music administrator must quickly determine how budget development is handled on his or her campus. Seasoned department chairs can be valuable in this process, as they are likely to have gone through this process many times. They often are happy to share their expertise. Similarly, campuses that offer budget training sessions for department chairs are providing an excellent service to their middle managers.

Types of Funds

Most colleges and universities have in place extensive, and potentially confusing, fiscal procedures, involving dozens of different income and expense funds. The music administrator must have a general understanding of accounting methods. Books on

budgeting and accounting can be especially useful for the new executive. The references for this chapter list a number of excellent sources. Additionally, one must understand the terms that music administrators encounter as they deal with business offices, comptrollers, and the like. The following list, although not exhaustive, constitutes a basic vocabulary of fiscal terms:

- Appropriated funds – money from the state (if a state-assisted institution) as a result of taxes and legislative allocation; usually restricted to specific uses.
- Auxiliary and service-center funds – money collected from auxiliary services offered on campuses, e.g., bookstores, dining halls, dormitories, etc.; these units are often self supporting.
- Capital funds – dollars available for capital improvements, e.g., construction and remodeling.
- Current operating funds – the income necessary to finance instructional programs, maintain the physical plant, pay faculty and staff, etc.
- CWSP – College Work-Study Program funds; money from the federal government for hiring student employees; awarded on a “need” basis from data generated by the FAFSA (Free Application for Federal Student Aid).
- Endowment capital – private donations that form the principal (corpus) of an endowment; most commonly 4–5 percent interest is available for expenditures.
- Fee – a one-time or recurring expense; student fees cover purposes over and above tuition, e.g., technology, private lessons, athletics, etc.
- Miscellaneous income – income from all other sources, e.g., ticket sales, instrument rental, building rental, performance honoraria, etc.
- Private/endowed funds – money from private sources, either one-time gifts or the interest generated by an endowment through investment.
- Restricted funds – funds for a specific purpose, e.g., salaries, benefits, scholarships, etc.; state-appropriated funds are generally of this type.
- Special program funds – income and expenses for one-time events, such as conferences, or recurring events, such as summer music camps.
- Tuition – money that students pay per credit hour of enrollment or as a block payment; the amount that students pay per credit rarely pays for the total cost of that instruction.
- Unrestricted funds – funds that can be used for any purpose, e.g., food, beverages, travel, etc.; these are usually nonappropriated or private funds. *Critical Point #2: Unrestricted funds are the most desirable and valuable dollars available to a music executive.*

Likely, the music executive’s most difficult task is determining what kinds of funds can be used for specific expenditures, as well as where income can be deposited. Executives who employ accounting personnel are definitely at an advantage, as these persons have knowledge of fiscal procedures and direct contact with budget offices and comptrollers on campus. The executive who does not have such personnel, however, has a more difficult job. He or she will need to spend considerable time learning the system by talking with business office officials or discussing budgeting procedures with seasoned campus administrators. Regardless, budget knowledge is critical for the smooth operation of the music unit.

To make matters worse, procedures often vary widely from campus to campus. For example, operations, salary, and capital funds are not interchangeable in many institutions, and it is impossible to convert extra salary money (if anyone has any of that!) to pay the telephone bill. On other campuses, however, dollars can be shifted among categories; some music units are permitted to keep reserve salary money (e.g., when a new person is hired at a lower salary than the departing faculty member) and convert that into operations funds. More often, though, such dollars revert to a higher authority on campus. There are as many varieties of these processes as there are institutions. The music executive who learns campus budget procedures quickly will have an easier job than the one who does not. Time spent learning this information will be the best investment a music executive can make.

Note that above, the author stated that unrestricted dollars are “the most desirable and valuable money available to a music executive.” Note also that the author earlier was tempted to declare a simplistic approach to budgeting, that is, amassing as much discretionary money as possible. The greatest flexibility a music executive has comes from discretionary funds, that is, funds that can be used for any (legal) purpose. For example, music executives frequently host potential donors to the music unit. While necessary, this is often *not* something that can be paid by appropriated funds. The section “Managing the Budget” will cover this concept in greater detail.

Budget Development Process

Several factors influence the budget development process in the music unit, most notably the size and structure of the unit and the unit’s position within the institution. Again, there are many varieties of organizational and budget structures, and only general principles can be discussed here.

Music units are generally organized in one of three ways: (1) the music unit is part of a large school or college, usually a college of liberal arts or a college of arts and sciences; (2) the unit resides within a smaller, more focused school or college, such as a college of fine arts or school of performing arts; (3) the unit stands alone and is not part of a larger entity on campus. Each of these types of organizations has a unique administrative structure. In (1) above, for example, the unit is usually called a “department” and the executive is called either a “chair” or “head.” In (2) the unit might be called a “department” or a “school,” and the executive can be titled “chair/head” or “director.” In (3) the unit is normally called a “school” or “college” of music and the executive is most often called “dean.” As dean, the executive is on par with other deans across campus.

Normally, the budget process begins in advance of the new fiscal year. At many institutions this occurs in January, and the budget request is due at the end of February. Requests are usually initiated by the individual immediately above the music executive, for example, a dean of arts and sciences or of fine arts in the case of a department of music, or the provost or vice president for academic affairs in the case of a stand-alone unit.

Such a request is often composed of various kinds of dollars: one-time allocations; recurring allocations; equipment dollars; faculty positions; staff positions, and so on. It is important that the music executive’s request be clearly defined by category. In addition, these requests are normally accompanied by a rationale justifying each item.

Once requests have been submitted, requests from all units are evaluated and the process of budget allocation begins. Often, this step is *pro forma* when no new money is available. At other times, however, additional funds are available. This situation is desirable, of course,

as it provides an opportunity for the unit to receive additional resources, either in the form of one-time dollars or recurring support.

Once allocations are made to the unit, the executive begins the next step of allocating resources within the music unit. Additional detail of that process follows shortly.

This constitutes the basic budget process. We now back up to the point where the music executive prepares and submits the request to the higher authority. This is a critical phase that warrants additional discussion. The most important issue is how the unit's request is determined. This process can occur in a number of ways, depending upon the size and structure of the unit.

The size of the unit is a major influence, as it may determine the level of complexity of the process. For example, in a unit with decentralized budgets—for example, the executive makes allocations to divisions, organizations, or departments—it is likely that key faculty, ensemble directors, and division or department heads submit budget requests to the music executive. Then the executive evaluates the requests and prepares the overall unit request for submission. Often, a group of faculty, such as executive committee or faculty council, may be asked to review the unit's request. In smaller units, on the other hand, the music executive often assumes the sole responsibility for preparing the budget request, although he or she will perhaps receive input from representative faculty.

Regardless of the system, a wise executive will keep a file of budget needs for periodic review and update. In such situations the preparation of the annual budget request is relatively simple.

As a final note, the annual *Higher Education Arts Data Service (HEADS) Data Summary* from the National Association of Schools of Music (NASM) is a treasure trove of data, allowing the music executive to make comparisons between his or her unit and others of similar size and scope. The ability to demonstrate to a superior that the unit's budget is the smallest of thirty comparable NASM institutions gives credibility to the executive's request. The HEADS compilation is a benefit of NASM accreditation, and each annual conference features a session on utilizing HEADS data. Even if your institution is not a part of NASM, HEADS compilations can be purchased from NASM for a fee. It is money well spent! Also valuable is the opportunity to order specialized reports comparing up to ten peer institutions chosen by the music executive. Such reports are prepared without reference to which institution provided which data, thus assuring anonymity.

Managing the Budget: Daily, Monthly

Managing the budget of the music unit is not an insurmountable task, particularly for the music executive who can at least balance his or her own checkbook. For an executive lacking even that skill, excellent software programs are available to compensate.

There is no question that an accounting clerk is of inestimable value. Of course, in larger units this is a requirement, not just a nice addition. Budgets that range from \$150,000 to \$15 million or more are not uncommon, and the accounting process becomes increasingly complex as the size of the budget increases.

Regardless of the presence of an accounting clerk or budget manager, *Critical Point #3* suggests that *it is imperative that the music executive know at all times how much money is available, and what kinds of restrictions are attached to those funds*. While it is not necessary to duplicate the activities of a clerk, the music executive must maintain his or her own records to track funds

and to keep a record of dollars allocated to individuals, programs, or organizations. Four or five forgotten allocations will wreak havoc on a budget.

Budget management also becomes more complex with greater decentralization. As the executive allocates resources to the band, the choir, the orchestra, and so on, he or she must have controls in place to ensure that these budgets are not overspent. *Critical Point #4: The career of the music executive will be short-lived if he or she takes back money allocated to unit organizations to cover the expenses of one person who repeatedly overspends the budget.* Having a mechanism to alert the faculty member when the sub-budget is spent down by 75 percent is a critical component in maintaining a balanced budget. Similarly, it is necessary for the music executive to monitor the entire unit's budgets. If 75 percent of the funds are expended after one semester, changes in spending patterns need to be made.

Recall that restricted funds are designated for a specific purpose, such as scholarships, salaries, or benefits, and usually cannot be spent for anything else. State-allocated funds almost always have greater restrictions on their use than do endowed funds, with the exception of funds donated for specific purposes by the donor, such as scholarships. Nonrestricted funds are generally synonymous with endowed funds or one-time private donations. Sometimes these are simply labeled as a "dean's/chair's discretionary fund" or something similar.

Discretionary funds are the ultimate goal of every music executive, as they provide a high level of flexibility. Having such funds is highly beneficial to the executive for purchases that are not possible with appropriated funds. For example, holding a reception is rarely allowable with restricted funds.

Although nonrestricted funds provide latitude for the music executive, careful planning is also important to ensure that the types of funds are used wisely. It is foolish to spend nonrestricted funds on something that can be covered by restricted funds. The savvy administrator will plan every expenditure in order to leverage the best use of funds.

Personnel Budgets

As stated earlier, 80–90 percent of the unit's budget consists of faculty and staff salaries and benefits. Given the static nature of faculty and staff, major changes in this area of the budget are rare. Unfortunately, requests for excessive budget cuts then require the executive to conduct the painful process of determining which faculty positions will be cut or reduced. Of course, tenured faculty cannot be released except in rare instances of declared financial exigency by the institution. Thus, it is the recently hired, tenure-track faculty or adjuncts who will be most affected.

Additions to personnel budgets usually come to the unit as salary-increase packages. These resources might come from legislative bodies in the case of state institutions or boards of trustees in private institutions. Those institutions that have control over the amount of tuition and fees they can charge to students can often utilize increases in tuition to enhance faculty salaries. This practice varies widely from campus to campus.

Once the music executive is in the enviable position of having increased salary dollars to allocate to unit faculty, however, then a method for doing so must be in place. Although not a topic for this chapter, these allocations are often made on one or more of the following criteria: (1) across-the-board; (2) merit; (3) market value; and (4) equity.

Spending Money

Spending money is ostensibly the easiest part of the budgeting process, so it might seem odd to include a section on this subject. Yet procedures for spending money are often as complex as other fiscal matters, so it is important that all understand the procedures for doing so.

As stated earlier, it is critical that the music executive meet early on with someone in the institution who understands the business procedures. Few things are more frustrating than trying to spend money but not knowing how! These are easy lessons to learn, of course, but it is important to know and follow the appropriate procedures.

Initially, it is important to learn the institution's "magic amount," that is, the amount over which one must acquire competitive bids. Often, this is around \$5,000, although it varies among institutions. Purchases of major equipment, for example, large wind instruments, pianos, organs, and technology, usually require competitive bids. In large state systems, contracts for specific brands of equipment are often negotiated for all institutions in the system. Music executives must be aware of this situation when purchasing a piano, for example. In the author's institution, part of a sixteen-campus state system, a committee chooses annually the "state contract" brand of upright piano. Bids are not necessary on an individual basis, as the state system has already conducted the bid process and selected make, model, and vendor. Purchasing a different brand requires justification and may not be possible.

For less expensive items other procedures are in effect. Usually, purchase of smaller items is accomplished through a requisition and purchase order system; the purchase order is filed with the business office, the amount of the order is encumbered (reserved), and the order is placed with the company. Centralized contracts might also be in place for smaller expenditures, such as copy paper, toner cartridges, and office supplies. Know the rules prior to spending any funds!

Unfortunately, faculty often believe that they can go to a vendor, buy something for the classroom or studio, and be reimbursed by the institution. Sometimes this is possible, but it is a dangerous practice. All faculty must understand fully the procedures for purchasing.

A new concept in purchasing is the institutional credit card (called a "P-Card" on the author's campus). Those who are authorized to spend resources are provided with this card, which they use just like their own personal credit card. It takes no imagination to see the inherent dangers of this system, where there are no limits placed on expenditures, and persons are provided a way of spending money they do not have.

Budget Cuts

For every music executive, even those who hold their positions for only a short amount of time, there will come the day when he or she must go through the process of cutting the budget. The common euphemism for budget cuts is "reallocation," which is never a pleasant or easy task. Budget cuts can be mandated at various levels of the organization, from the state legislature to the board of trustees to the president and so on. In most cases the music executive receives either a percentage or dollar amount to be cut from the budget and, if fortunate, will have more than 24 hours to determine how to make the cut.

Cutting an already meager budget is not easy. Music executives might follow one of two strategies: across-the-board or program cuts. Remember that as much as 80–90 percent of

the allocated funds are tied up in faculty salaries, leaving only a very small amount of dollars for other purposes. This makes the task even more difficult.

While across-the-board budget cuts are the easier method, they are not necessarily the best. In this scenario every area takes a percentage cut, the sum of which constitutes the dollar amount the unit must cut. While straightforward, this procedure cuts both strong and weak programs indiscriminately. It will be only a matter of time (and several of these cut exercises) until the once-proud unit will be reduced to mediocrity.

Critical Point #5: All things being equal, it is much better to cut programs or parts of programs that are less strong. Although such program cuts are not as easy as across-the-board reductions, they provide opportunity to maintain high quality in the face of budget cuts. Make no mistake, however, that maintaining the same level and quality of program year after year while continually losing resources is impossible. Sooner or later, with enough budget reductions, the quality of the unit will suffer.

Program cuts require faculty and administration to examine strengths and weaknesses of programs and make the difficult decisions of which should be funded and which should be reduced or eliminated. This process is a challenging but highly responsible way of dealing with reduced resources. The wise administrator realizes that the music unit should not do what it does not do well, providing a logical source of budget reductions.

Obviously, if 80–90 percent of the budget is committed to salaries, there comes a point when eliminating faculty could be necessary. At most institutions, budget cuts as low as 2–3 percent will cause the release of full-time faculty. Likely, nontenured or adjunct faculty will be released before tenured faculty, and in most institutions, tenured faculty can only be released when the institution declares financial exigency, that is, the institution is in such dire financial straits that drastic measures must be taken to save the institution from financial ruin.

Budget Software

A number of excellent products are available to help the music executive keep track of funds. Executives should always be conversant with the system in place on campus so they can see budget balances in real time. For additional monitoring and planning, however, these software packages are invaluable.

For a bare-bones resource, Microsoft Excel is difficult to beat. Part of the MS Office package, Excel provides a fairly easy-to-use spreadsheet that the music executive can set up to meet his or her needs. Excel provides a blank slate that allows the creation of spreadsheets to help track the finances of any size of music unit. Also, such a program provides the ability to make fiscal projections, testing the overall effects of more or less money in particular funds. The downside of this program is that it is completely open-ended; templates are not automatically set for the needs of music schools. Such templates can be accessed from the Microsoft site, however. See <http://office.microsoft.com/en-us/templates/default.aspx> for a complete list of available Excel templates.

Another product that has tremendous potential for the music executive is Intuit's Quicken (<http://quicken.intuit.com>). While designed primarily for tracking home finances, it can be used just as easily by the music executive. Quicken allows creation of specific budgets and offers the ability to monitor them in regard to actual vs. projected income and expenses. It is a highly sophisticated product, yet the learning curve is not particularly steep. It is also reasonably priced with several levels of program available for various uses.

Another Intuit product, QuickBooks (<http://quickbooks.intuit.com>), is directed more toward the business market. Given this, it includes more structured business and accounting applications. Although more applicable to business applications than either Excel or Quicken, it has a steeper learning curve for the novice music executive.

In summary, each of these products (Excel, Quicken, and QuickBooks) represents a gradually more focused and specialized application: from a blank slate in Excel to a highly sophisticated software package devised for the business client in QuickBooks. Music executives will want to examine all three (and there are others on the market, as well) to determine their level of comfort and facility with each product. These electronic spreadsheets offer invaluable assistance to the music executive, regardless of which one is selected. Gone are the days of slaving over the calculator and sheet after sheet of green-lined ledger paper to keep the financial affairs of the music unit in order.

Pitfalls and Advice

Pitfalls

Barr (2002) provides the following helpful list of potential pitfalls that the higher education administrator might encounter (annotated by the author).

1. *Overestimating revenue.* The surest path to fiscal problems is overestimating the amount of money coming into the unit from sources that are not fixed and reliable, for example, endowment funds, ticket sales, registrations for conferences and symposia. Music administrators must resist the temptation to “believe their own press” and prepare budgets on unrealistic data. When possible, estimates should be made on the basis of previous years’ amounts, with appropriate change factors to cover foreseen variations. Generating more income than expected is always more pleasant than watching the bottom line dwindle from unrealized income projections.
2. *Postponing a problem.* The author has come to believe in a single axiom over his years of experience: *If something seems wrong, it probably is.* This is surely true in matters of budgeting and finance. Putting one’s head in the sand is never the way to maneuver out of a problem situation, and delaying deliberations and analyses of problems will never make them go away. Fiscal problems must always be addressed as early as possible; delay almost always makes matters worse.
3. *Failing to ask for help.* No music executive can know all the answers; beware of those who say they do, as they will not last long. The wise music executive is not afraid to admit that he or she does not know something and seek advice from others, for example, colleagues in other music units or other administrators on campus. The best source of advice and counsel is the music executive’s immediate supervisor, who has probably encountered the same problem many times over. Whatever the situation, do not fail to seek advice when needed. Membership in NASM is also invaluable, as a cadre of knowledgeable music executives is no farther than a phone call away.
4. *Failing to identify hidden costs.* This situation can quickly and easily consume extensive resources. Regardless of the project, whether a conference, a special concert, a guest

- artist, travel, and so on, the music executive must examine every detail of the event and confer with others on hidden costs. Failing to budget for handling charges from the box office, for example, or for the cost of linens, utensils, and flowers for the annual donor reception can quickly derail the event's planned budget. There is no substitute for thorough and detailed planning for these activities, and the more pairs of eyes that review the proposal, the better.
5. *Failing to identify multi-year consequences.* This problem is common in areas such as scholarships and hiring adjunct faculty to teach core music courses, as both activities have actual or potential multi-year consequences. Music scholarships are usually multi-year awards. Allocating all the money available in the first year will decrease or eliminate the resources available for new scholarships in the second year. Utilizing adjunct faculty to teach recurring core courses requires that money be allocated yearly.
 6. *Assuming the good times will continue.* Although music units are rarely flush with resources, some institutions are blessed with recurring increases in funds. It is all too easy to commit every dollar of those funds under the assumption that this climate will last forever. Changes occur when least expected, and oftentimes these changes have nothing to do with music. The wise music administrator will always be prepared for the unexpected by having established the appropriate safeguards.

Advice and Final Critical Points

Barr (2002) also provides the following pieces of advice (annotated by the author).

1. *Be prepared and pay attention to details.* It is critically important that the music executive always be prepared for any fiscal issue that arises, through constant review of the budget and account balances. Looking at these figures once every three months is not enough. It is also important to be able to respond quickly to anyone who requests funding not already budgeted. Faculty will soon come to respect an executive who can give honest, clear, reasoned, and prompt answers to their requests, even if the answer turns out to be "no."
2. *Do not play games.* It is tempting to try to make the fiscal condition of the music unit sound worse than it is in order to wrest additional funds from a higher authority. Practice sound judgment, honesty, and solid mathematics when preparing budget requests, and do not inflate them to the point where they are viewed by superiors as absurd or out of line. Keep in mind that institutions are large, complex organizations, and the music unit is only one of many departments. On the other hand, including an unfulfilled request repeatedly will send the message that the item is critically important to the music unit.
3. *Make few initial assumptions.* Do not make assumptions when dealing with fiscal matters. Overestimating income and underestimating expenses are sure paths to disaster. Gather real data and utilize those to make fiscal decisions.

In addition, the following pieces of advice are offered by the author.

1. Always have an itemized “wish list” at hand, and keep it up to date. It is not uncommon in some institutions for money to be released by higher authorities late in the budget year. If you have a list of potential uses for additional money always at hand, you will always be prepared for the joyous task of spending money you didn’t expect to get. This is truly a joyous occasion, and one must always be prepared for the few times it occurs in one’s career!
2. Always know what funds can be carried over from year to year, and be certain to spend every cent of the funds that cannot be carried forward. If there is appropriated money left over every year, it will soon occur to someone that your unit does not need as much money as you are receiving. At the same time, do not spend more than you have. One can quickly gain a reputation as a poor fiscal manager if this happens repeatedly.
3. Know whether your institution holds resources back for emergencies and who has access to those funds. If a true financial emergency occurs in the unit that could not have been anticipated, it is helpful to know if someone higher up on campus has contingency funding to help out. Of course, going to this well too often will cause untold problems.
4. Always keep a percentage of the budget in reserve for contingencies and emergencies, because they *will occur*. It is a huge mistake to allocate every single dime given to the unit.
5. You might be able to decentralize the budget by making allocations to other areas, for example, band, choir, or orchestra, but you as music executive are ultimately responsible for the fiscal health of the unit. Although micromanagement is rarely a good thing, oversight of decentralized budgets is of paramount importance. Keep track of who is spending what, and do not hesitate to call them on the carpet if they are exceeding their allocation. Make it perfectly clear to all involved that repeated overexpenditure of allocated funds will result in the removal of those privileges. This is important business, and the fiscal affairs of the music unit cannot be derailed by one or two irresponsible faculty members. While a hard-nosed approach is usually not the best way to deal with issues, it is the *only* way to handle fiscal problems.
6. At some point in the fiscal year it will likely be necessary to put a “freeze” on expenditures in order to make it through the rest of the year. Make sure that all faculty with fiscal responsibilities understand and follow this deadline.
7. It is always a mistake to take funds from a budget that is being managed well to cover the overspending of another budget that has not been managed well. It is not fair to penalize those who are doing their job well in order to cover someone who is not. A better method is to dip into discretionary funds to cover the shortfall and then *not* make an allocation to the same person next year.

Conclusions

Managing the budget of even a small music unit can occupy countless hours of the music executive's time, but it is time well spent and is absolutely necessary. Fiscal management is not difficult even with minimal knowledge of accounting procedures, and it really *is* a matter of adding and subtracting. It is hoped that this chapter has presented the basic principles involved in utilizing resources to their fullest extent in order to reach the goals and objectives that are important to the unit.

As a final review, here are the five critical points the author proposes for music executives in all sizes of institutions.

1. The most effective management of resources occurs when the budget is inextricably linked to the unit's strategic plan.
2. Unrestricted funds are the most desirable and valuable money available to a music executive.
3. It is imperative that the music executive know at all times how much money is available and what kinds of restrictions are attached to those funds.
4. The career of the music executive will be short-lived if he or she takes back money allocated to unit organizations to cover the expenses of one person who repeatedly overspends the budget.
5. All things being equal, it is much better to cut programs or parts of programs that are less strong than to cut all programs across the board.

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Chapter VIII

Personnel and Legal Issues

*Joyce Fecske, Former Vice President for Human Relations
DePaul University*

*Joan E. Gale, Equity Partner
Seyfarth Shaw LLP*

Introduction

Institutions of higher education are not shielded from the requirements of employment laws because of their academic status, and the school or department that fails to understand and follow the law is asking to be sued. While colleges and universities have unique characteristics and concerns regarding employment issues, in many ways they are like every other large employer with respect to the state and federal laws governing employment. And this does not only mean a prohibition against discrimination. There are laws governing the way employees are hired, fired, and promoted, procedures for granting leaves of absence (not related to sabbatical), and laws concerning interaction with unions, retention of records, and a host of other considerations. When you add to the mix those laws and regulations that are specific to academia, things can get complicated.

Although a school's human resources (HR) department can assist individual departments with respect to nonacademic employment issues, academic administrators and others who may be deemed to serve in a supervisory capacity need to have an understanding of the laws as well. Department chairs are in the best position to nip problems in the bud and to make sure the rules are being followed and applied consistently and fairly.

General Discrimination Law

When one mentions employment law, most people think of a prohibition against discrimination at work. Various federal statutes impose upon employers the obligation to provide equal employment opportunity to employees without regard to age, sex, pregnancy, race, color, national origin, religion, disability, sexual orientation, or military status. These laws are not unique to academia, and generally no special rules distinguish schools, colleges, and universities from other types of employers. Employers today frequently face charges of violating one of the statutes prohibiting discrimination against individuals in one of these protected classes. These allegations of discrimination most often follow employment decisions that adversely affect an individual or group of individuals, such as the discharge or discipline of an employee, the denial of a promotion, or the rejection of an applicant.

Consequently, anytime an employer makes an adverse employment decision, the employer must carefully consider the governing laws before acting. Additionally, the employer should examine both its written and unwritten employment policies and ensure that these policies are being followed consistently. Where a decision appears to be inconsistent with policies and practices, the employer must be able to show a legitimate

reason for the inconsistency. Finally, it is imperative that the employer carefully document performance deficiencies or misconduct that support adverse employment decisions.

Several federal statutes govern employment discrimination. Among them are:

- Title VII of the Civil Rights Act of 1964, As Amended 1991: Prohibits employment decisions based on sex, race, color, religion, or national origin.
- Age Discrimination in Employment Act (ADEA) of 1967: Protects older workers (40 years of age and above) from discriminatory employment practices.
- Americans with Disabilities Act (ADA) of 1990: Prohibits discrimination against persons with disabilities.
- Pregnancy Discrimination Act (PDA): Prohibits discrimination due to pregnancy, childbirth, or related medical conditions.
- Equal Pay Act (EPA) of 1963: Requires an employer to pay male and female employees the same wages if they are doing work substantially similar in skill, effort, responsibility, and working conditions.
- Family and Medical Leave Act (FMLA): Provides covered employees with up to twelve weeks of unpaid leave in a twelve-month period for the birth or adoption of a child, to take care of their own serious health condition, or to take care of a family member with a serious health condition.

Allegations of sex discrimination and harassment continue to be a serious problem for academic institutions. Title VII and many state laws prohibit sex discrimination in employment decisions such as hiring, promotion, compensation, benefits, and termination. The EPA requires equal pay for equal work.

Employment decisions based on sex, or sexual stereotypes, are forbidden. The sole exception to this prohibition against intentional discrimination is where sex is a “bona fide occupational qualification” necessary to the operation of the business. This exception is extremely narrow and probably would not apply in an academic institution.

The availability of maternity leave and payment of benefits are two areas that continue to raise questions. An employer may not lawfully exclude pregnant employees from medical benefit programs, disability programs, health insurance, or sick leave plans. *The law requires that pregnancy be treated like any other temporary disability.*

One of the most frequently litigated—and publicized—aspects of Title VII’s prohibition against sex discrimination is sexual harassment. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature. If a supervisor promises a promotion or other employment benefits to an employee who submits to his or her sexual advances (or threatens to demote or fire an employee who snubs such advances), sexual harassment has occurred. Another example is when sexual behavior or conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive environment. The best way to avoid and defend charges of sexual harassment is the institution developing a strong policy against harassment and distributing it to all faculty, staff, and administrators. Training and educating faculty, staff, and administrators on how to avoid charges of sexual harassment, teaching them how to report incidents of harassment, and explaining what types of behaviors are and are not acceptable in the workplace are critically important. All complaints of harassment must be thoroughly and sensitively investigated by individuals either within the university or, if necessary, from the outside. In addition, all policies against

sexual harassment must include a complaint procedure that allows an employee to bypass his or her own supervisor or department head and make a complaint directly to another neutral individual within the university who is not a party to the allegations. In the academic setting, care must also be taken to address the issue of sexual relationships between faculty and students, whether graduate or undergraduate. The best policy would be to prohibit such interaction.

All faculty and staff should be educated that unlawful harassment includes more than sex. Harassment based on race, color, religion, or any other protected category is forbidden as well. Although the university may have its own policies against harassment in place for all faculty and staff, each department head should take responsibility to ensure that every member of the department is fully aware of the policy and follows it. All new members of the department, faculty, and staff should be given a copy of the institution's policy. An employer's defense may depend upon being able to show that it had a policy against harassment in place and the employee failed to take advantage of it. When necessary, department chairs must be willing to involve individuals from outside the department in the investigation and resolution of all complaints.

With age discrimination, the law protects only individuals who are age 40 and older. An employer may legally favor older workers over younger ones, even if the younger workers are also over the age of 40. One scenario that can inadvertently cause problems with age discrimination is the desire to bring "new blood" into the department. Although it is important to have faculty and staff who are up to date with research and other trends, be careful not to assume that candidates with the most recent and relevant experience and knowledge will also be those who are younger. With respect to age discrimination, keep the following points in mind:

- It is illegal to fail or refuse to hire, discharge, or otherwise discriminate against any individual with respect to compensation, terms, conditions, or privileges of employment *because of* the individual's age.
- It is illegal to limit, segregate, or classify employees so as to adversely affect them because of age.
- It is illegal to reduce wage rates in order to comply with the ADEA.
- It is illegal to discriminate or retaliate against any person who has exercised rights under the ADEA.
- It is illegal to print or publish notices or advertisements for employment indicating any preference, limitation, specification, or discrimination based on age.

Perhaps the most complex of the discrimination laws concerns employees with disabilities. The ADA prohibits discrimination against persons with disabilities in the areas of employment, government programs and services, public accommodation, and telecommunication. This prohibition applies to job application procedures, hiring, promotion, compensation, training, and all other terms, conditions, and privileges of employment. These provisions impose complex responsibilities and liability for conduct both before and during the employment of individuals who are protected by the ADA.

Because the ADA only protects a "qualified individual with a disability," in order to claim coverage under the ADA, an individual must prove he or she has a "disability," which is defined as:

- a physical or mental impairment that substantially limits one or more of the major life activities of such an individual (examples include an individual who is blind or deaf, has AIDS, uses a wheelchair); or
- a record of such an impairment (examples include an individual who has had cancer but who no longer does or someone who was misclassified as having a learning disorder); or
- being regarded as having such an impairment (examples include an individual with high blood pressure who is regarded as being unable to work in a high stress job, even though that is not the case, or an individual with a disfigurement who is not hired as a receptionist); or
- having a relationship or association with someone who has a known disability (for example, an individual who has a child with epilepsy). The ADA does not, however, require an individual in this category to be reasonably accommodated.

The ADA imposes a number of restrictions on employers in the hiring process. Generally, an employer may ask about an applicant's ability to perform both essential and marginal job functions, but employers may not refuse to hire an applicant with a disability who cannot perform a marginal function. The employer may *not* ask either on an application form or in an interview whether an applicant has a disability that prohibits him from performing the job. The employer also may not inquire about health-related issues or about hospitalization or worker's compensation history.

The ADA imposes a duty of "reasonable accommodation" to permit a disabled employee to perform the essential functions of his or her job. In the academic setting, this might include such things as assigning a wheelchair-bound professor to a classroom located close to his or her office or providing an extra teaching assistant. Even though decisions about reasonable accommodation may need to come from the university administration, the department chair should be involved in all discussions because he or she is in the best position to help craft a reasonable, workable accommodation.

Questions of how to provide leaves of absence for medical or other reasons can also be difficult. The university should have a uniform FMLA policy, and it is important that all leave requests be made in writing. Department chairs should be careful not to make "side agreements" regarding leave on a case-by-case basis. Such agreements may not only violate the FMLA but can also open the school up to a lawsuit by another employee whose request was treated differently.

Finally, understand that it is unlawful not only to discriminate on the basis of a protected category but also to take any adverse action against a complaining employee in retaliation for the complaint. This also includes retaliating against employees who helped the complaining employee with his or her complaint by acting as a witness, giving testimony, or otherwise showing support.

Affirmative Action

Affirmative action has always been an important subject in academia, particularly with respect to student admissions. But faculty diversity and the search process also raises affirmative action issues. Today, affirmative action in the hiring process has moved beyond simple questions of race or gender and may include such traits as socioeconomic background, religion, and/or sexual orientation. In all hiring situations, candidates should be

considered based on individual merit, with affirmative action traits added only as a “plus” factor, not the deciding factor.

Even with a carefully thought-out affirmative action plan, a school remains open to claims of discrimination (or reverse discrimination) in hiring. Departments should work closely with the chief academic officer, HR department, and legal counsel. Search committees in particular need to be trained about how to conduct effective and lawful faculty searches. Education should include guidelines for questioning, examples of unlawful questions and areas of inquiry, an explanation of the school’s diversity policy, and the ability for committee members to ask questions and obtain guidance throughout the search process. This information should be provided to members of the search committee when the first meeting is convened. A member of the committee or the chair should be assigned the task of retaining resumes, applications, and search committee materials. Consult with the chief academic officer or HR office regarding institutional policy on record retention for searches.

For schools that are government contractors, the Office of Federal Contract Compliance Programs in the Department of Labor has implemented regulations requiring affirmative action programs and the reporting of affirmative action data. This covers any institution that is a party to a contract (or subcontract) with the federal government for services or supplies of at least \$50,000, and that has at least 50 employees. These institutions must have developed and have available at each workplace a written affirmative action compliance program (“AAP”) within 120 days from the commencement of the contract. A report of the results of the AAP must be compiled annually and the AAP updated and summarized at that time. The institution’s HR department should oversee the creation and filing of an AAP, when necessary.

Whether or not your school or department participates in a formal affirmative action plan with respect to hiring, there are still laws regarding record-keeping that must be followed. Any employer subject to Title VII of the Civil Rights Act, including an institution with fifteen or more employees, must maintain the information that would be required to complete an EEO-6 form, even if the employer is not required to file one. An EEO-6 form was also known as the Higher Education Staff Information Report and, until 1993, was to be filed biennially. Since 1993, the Department of Education’s National Center for Education Statistics (NCES) assumed the responsibility of compiling all information previously submitted on the EEO-6 onto a new reporting form—the Integrated Postsecondary Education Data System Survey (IPEDS). The IPEDS thus replaced the EEO-6 report formerly required by EEOC. Institutions must now submit the IPEDS to the NCES on a biennial basis. Department chairs should work with their institution’s HR department to provide accurate information about faculty and staff so that the IPEDS can be completed in a timely manner. The filing of reports is the responsibility of the institution and not individual colleges, schools, or departments.

Retention

Pursuant to federal law, all records used to complete the EEO-6 or the IPEDS must be retained for a period of *three years* “at the central administrative office of [the institution], at the central administrative office of a separate campus or branch, or at an individual school which is the subject of the records and information, where more convenient.” All department chairs should consult with their institution’s HR department or chief academic officer regarding the retention and destruction of employment-related documents. Some,

such as those regarding hiring, firing, promotion, and other employment decisions, should be maintained for at least one year. Others may need to be kept longer, depending on whether the school is a federal contractor. Of course, all records relating to pending charges of discrimination and actions by the EEOC or the attorney general, or which are the subject of a lawsuit, should be retained until the final resolution of the action. However, such documents should not be produced or released to anyone without the prior authorization of the school's attorney.

The EEOC has also prescribed record-keeping requirements on tests and other selection procedures that are used by employers as a basis for making employment decisions (e.g., hiring, promotion, demotion, retention). Each employer must maintain "records or other information" that disclose the "impact"—including any "adverse impact"—that tests and other selection procedures have on employment opportunities of persons by race, sex, or ethnic group. Where there are large numbers of applicants, and selection procedures are used frequently, the information may be retained on a "sample" basis (provided the sample is adequate in size and is appropriate given the applicant population).

Retention of Faculty

The overall environment at an institution or in a department can go a long way toward keeping faculty content and satisfied, and individual departments can help by implementing the following practices and procedures.

Mentoring

Making a new appointment feel welcome and part of the department sets the right tone for his or her relationship at the school. Partnering a new faculty member (no matter how experienced) with a current one who shares similar interests or background can help integrate the new professor into the department smoothly. Such a mentoring process can be formal or informal, and can be limited to such things as social interaction or more broad, including professional development, integration into the entire university community, and information about teaching, tenure, and research.

Informed Faculty

Make sure to keep all members of your unit aware of department- and university-wide policies and procedures, particularly when changes are made. All faculty should understand the promotion and tenure process at the school and receive regular performance reviews. Regular department-wide meetings will help keep everyone up to date, which is particularly important in the academic setting, where individual faculty members and administrators may not have other opportunities to see each other or interact on a regular basis. Be sure that new faculty and staff have received written information on the institution's policies and procedures.

Complaint Procedures

Another factor that is important for retaining faculty and staff members is to have procedures in place for questions, complaints, and suggestions. Members of the institution are less likely to be dissatisfied if they have a place to air grievances and have them addressed by the administration. At the department level, this could include an informal ombudsman

position, a suggestion box, periodic meetings to discuss issues or concerns, or other types of programs. As explained above, it is very important for complaints of discrimination or harassment to be taken seriously and to be investigated, either at the department level or by the administration, when necessary. But attention to more minor gripes can go a long way toward avoiding more serious problems.

Collective Bargaining

Collective bargaining in higher education refers to a process by which the faculty (or a group of staff) band together, usually with the help and representation of a labor union, to negotiate as equals with the school's administration about issues relating to working conditions, teaching, and other topics of concern. The results of the negotiations are memorialized in a collective bargaining agreement, which is a contract between the faculty members and the administration that is renegotiated every few years according to the terms in the agreement.

Many college and university faculties are represented by unions, and even if individual department chairs or other departmental administrators do not have direct input into the bargaining process, they need to be aware of the agreement and its terms, in order to avoid violations. For example, beware of making promises to or personalized agreements with individual faculty members about such things as teaching schedule, wages, vacation, hiring and tenure decisions, or even classroom or office location. Some of these issues may be determined at the department level, but they may also be set forth in the collective bargaining agreement.

The music executive may also need to reference the collective bargaining agreement regarding such items as offer letters, job descriptions, or notices of reappointment or non-reappointment, particularly if the agreement contains a grievance procedure. Who needs to sign such documents? The department chair only? The dean or provost? Does language in such letters and notices need to be standardized throughout the university? These are the types of considerations that department chairs must consider with respect to the collective bargaining process.

When to Seek Help Outside the Department

Even though individual academic departments often enjoy a high degree of autonomy, the information in this chapter should underscore the message that, particularly in the employment context, some issues cannot be resolved only at the department level. Department chairs need to know when an employment issue is so serious or important that they must go beyond the department level to discuss problems or obtain guidance. This may involve working with the university administration alone or also seeking assistance from in-house or outside counsel. Although there is no hard-and-fast rule, matters involving complaints of discrimination or harassment of any type need the attention of the university, even if it is merely to provide regular status reports on the course of an investigation or to confirm the school's policies. The involvement of university officials is particularly important when the allegations are against the department chair or members of his or her administration.

Issues that involve allegations of criminal misconduct, fraud, or threats of violence also need to go beyond the department, as does any matter concerning the collective bargaining agreement. Minor issues, such as questions of department policy, can stay within the

department. If the executive is unsure whether to seek outside assistance, it is safest to err on the side of going to the university's administration and/or talking to the university's attorneys.

Correctly dealing with employment issues in the academic setting (or in any workplace, for that matter) requires knowledge, common sense, and fair and consistent practices. Sometimes an employment law may not seem rational, or may appear overly complex, and department chairs need to be as much aware of what they do not know as what they do know when dealing with faculty and staff. Some particularly tricky issues include those concerning employees with disabilities, questions of leave, and labor issues. Most importantly, proper training of everyone in the department can help avoid employment problems before they even have the chance to occur, and a well-understood and simple complaint procedure can help keep small concerns from becoming serious problems.

Chapter IX

Music Facilities, Architecture, and Planning

*Michael Howard, Architect, President
Performance Architecture, LLC*

Foreword

As a young boy, and later in my life as a youthful architectural student, I often found myself staring in awe at complicated buildings and wondering how such marvelous things actually began. What were the designers' first steps? What were their first thoughts? What questions did they ask, or, more to the point, did they even ask questions? And if they did ask questions, who did they speak to? As I organized my thoughts for this chapter, I wanted more than anything else to remove the mystery surrounding at least a few of the initial programming and design steps taken by an experienced architect for music and performing arts buildings. My goal is to answer the following music executive's question: "Might there actually be some form of a neophyte-comprehensible, step-by-step process that successful designers of performing arts facilities actually use to program and design these marvelous buildings?" The following is my attempt to disclose and quantify some of the initial steps in this complicated process.

Step 1: Identifying the Need

Of course, the first step in the creation of a new building for the performing arts is the music executive's becoming personally aware, and then sharing this awareness with others in the institution's administration, that the fulfillment of the school's academic mission is currently hamstrung by the absence of an adequate physical plant. Physical plant inadequacies come in many forms: too few or too small rooms; too little acoustic isolation between music spaces (precluding their simultaneous effective use); inadequate technology in rooms for music instruction; poor internal room acoustics (preventing or inhibiting the teaching of high-quality applied music skills); poor mechanical systems that insidiously destroy valuable musical instruments. The list of such deficiencies is nearly endless.

Oftentimes the "Identifying the Need" process begins as a result of an NASM site visit as part of either first-time accreditation or accreditation renewal. The logical follow-ups to this first step are (1) your institution's administration must acknowledge the existing physical plant's deficiencies; (2) new and/or renovated performing arts facilities must be placed on the institution's capital projects list; (3) commitment by the administration to either funding the initial planning steps needed to rectify the deficiencies or, at the very least, assisting in securing private funding; and (4) formation of design professional selection and/or project building committees. It should be noted that the school's faculty and staff should play key roles in both of the aforementioned committees. Many universities have a university architect whose office will be required to be involved in all aspects of planning and execution of all construction and renovation on campus.

Step 2: Selection of a Design Professional

Once the need for new or renovated performing arts facilities has been embraced by an institution, the next step is for the design professional selection committee to identify, invite, short-list, interview, select, negotiate with, and finally contract with a professional design team for part or all of the building work to be discovered and recommended through the programming, design and construction processes.

Identify a List of Experienced Design Professionals

There are many ways to develop a comprehensive list of qualified design professionals to work with the university in pursuit of performing arts design excellence. Probably the best lists come from other NASM-accredited institutions that have successfully and recently traversed these perilous waters.

The personal recommendations of design teams from other fine arts institution chairs, deans, and directors are a proven and valuable source of quality names for your list. Design firms experienced with performing arts programming and design issues need cost no more to hire than firms lacking such expertise. Furthermore, experienced design teams often include not only architects but also an acoustician, a theatre consultant, and a cost consultant. Once a list of firms has been developed, a letter of interest or a request for proposal (RFP) is sent to each firm describing in the most general of terms the composition of the department, school, or program; its existing facilities and their perceived deficiencies; the commitment to rectifying said deficiencies; and an inquiry regarding the firm's interest in being considered for this project commission. RFP documents can be very detailed, requesting specific information about the firm being invited to reply (i.e., size of staff, list and photos of related project experience, recommendations, current workload, names and resumes of proposed project personnel, design philosophy, etc.)

Develop Short List of Design Teams

The design professional selection committee first establishes an evaluation criteria and rating system for selection (i.e., #1 criteria/10 points: numerous, successful, similar size/scope/type project experiences; #2 criteria/9 points: recommendations of other NASM institutions; #3 criteria/8 points: on-time/on-budget project performance; #4 criteria/7 points: record of client service; etc.).

The design professional selection committee next reviews all letters of interest and RFP responses and ranks them in the order of #1/most qualified to #?/least qualified then develops a short list of the top three to five firms to be interviewed. The chair of the design professional selection committee sends notices to all responding firms notifying them of the firms on the short list and thanking all for participating. Interview dates, times, and terms are established alphabetically and transmitted to the short-listed firms.

Interview Short List of Design Teams

The best interviews last approximately 90 minutes and allow for a 45- to 60-minute presentation of qualifications and credentials by members of the proposed design team followed by a 20- to 30-minute question and answer period. Discussing the subtleties and specific details of the interview process could consume many pages of this chapter's text. Suffice it to say that the selection committee should ask the interviewing firms to highlight in their presentation only

those criteria most important to the institution and the project at hand, whatever those criteria may be. Instruct the interviewing firms not to attempt contact with members of the selection committee and not to show design solutions for the specific project at hand (this should be an interview process, not a design competition; that selection methodology will be discussed next). In order to achieve the best interview results, a copy of the rating/ranking criteria form used by committee members during the interviews should be provided to all short-listed firms in advance of their interviews.

Design Competition Selection Methodology

From time to time, institutions flirt with the apparent attractions of a design competition selection methodology, in lieu of a qualifications-based selection process. One perceived benefit is the institution's thinking that it will be able to select a qualified design team and procure a completed project design, replete with project images and plans suitable for fundraising purposes, in an abbreviated timeframe and without cost to the institution. Although this perception may be correct, you should make those promoting this approach aware of the following potential liabilities:

1. If your design team selection process is to be anything more than simply a "beauty contest," all competing firms must work from the identical building program (list of project spaces, needs, and goals). To achieve this you will have to either outsource development of this document to a qualified firm or prepare it internally through the university architect's office or another administrator.
2. Most design competitions begin with some form of RFP process to select the competing firms from a larger group of interested firms and then offer some form of minimal compensation to each of those firms selected. Design competitions with minimal or no compensation can and will cause many qualified, successful, and/or busy firms to withdraw from further consideration purely for reasons of expense.

Select and Contract with the Preferred Design Team

These steps in the process are basically self-explanatory, regardless of the selection methodology employed by the institution. However, if the preferred selection process for the design team is a "qualifications-based" process and not solely price-sensitive, the institution's appropriate department (business and finance, physical plant, corporate legal counsel, etc.) must first rank the interviewed design teams and then conduct financial negotiations, starting with the #1 team, then moving to #2, and so on, if financial terms cannot be reconciled with the higher-ranked team.

Step 3: Project Programming and Anticipatable Fees

I believe that every successful building project begins with the creation of a building program document. It is an owner-requirement to furnish just such a document to the architect prior to development of your project's construction/bid documents. An informal definition of a successful building program would be "the detailed written and drawn description of nearly every aspect of the envisioned final building solution/product." A building program is not a

building design but rather the book that the designers use as a guide to beginning the design process.

A successful building programming process requires true collaboration between the “trinity” of an institution’s professional design team, administration and/or university architect, and end-product user. Programming documents typically have a table of contents, a written executive summary for the “too-busy folks,” and a series of detailed space summary spreadsheets, technical room diagrams, room description sheets, critical room-to-room adjacency diagrams, descriptions of realistic project phasing, and some form of construction cost and total project cost opinions.

Building program documents vary in size, complexity, and cost, just like the projects they describe. However, we believe it safe to assume that the cost of a comprehensive building program circa year 2006 for a 200-major school of music, containing all the aforementioned parts and involving primarily new construction, should be not much less than \$50,000 nor more than \$100,000 plus reimbursable expenses, with the average being in the \$70,000 price range.

The figures that follow show some examples of some of the typical components of the building program document.

PERFORMANCE ARCHITECTURE
650 Poydras Street - Suite 2800 - New Orleans, Louisiana - 70130

PROGRAMMING SERVICES - BUILDING PROGRAM

Program ID	Room/Area	No.	Room/Area Dimensions					Net SF (NSF)		Acoustic	Room/Area Financials		
			Units	W'	x	L'	x	H'	Per Unit		Total	Isolation Partition Thickness Factor	Type Construction
SECTION II. ACADEMIC FACILITIES - continued													
SECTION II.J. STUDIO MUSIC & JAZZ DEPARTMENT - FACULTY STUDIOS													
II.J.01	MSJ - Studio Music & Jazz Department Chair's Studio	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.02	MSJ - Studio Music & Jazz Faculty Studios - Guitar	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.03	MSJ - Studio Music & Jazz Faculty Studios - Bass	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.04	MSJ - Studio Music & Jazz Faculty Studios - Saxophone	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.05	MSJ - Studio Music & Jazz Faculty Studios - Trumpet	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.06	MSJ - Studio Music & Jazz Faculty Studios - Trombone	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.07	MSJ - Studio Music & Jazz Faculty Studios - Piano	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.08	MSJ - Studio Music & Jazz Faculty Studios - Vocal	2	14'	x	17'	x	11'	238	476	1.17	New	\$385	\$214,414
II.J.09	MSJ - Jazz Vocal Faculty Studios - Part-Time	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.10	MSJ - Studio Music & Jazz Faculty Studios - Composition	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.11	MSJ - Studio Music & Jazz Faculty Studios - Jazz Writing	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.12	MSJ - Instrumental Music Faculty Studios - Part-Time	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.J.13	MSJ - Staff Assistant	1	8'	x	8'	x	9'	64	64	1.00	New	\$175	\$11,200
SECTION II.K. MUSIC THEORY & COMPOSITION DEPARTMENT - FACULTY STUDIOS													
II.K.01	MTC - Music Theory & Composition Department Chair's Studio	1	14'	x	17'	x	11'	238	238	1.17	New	\$385	\$107,207
II.K.02	MTC - Music Theory & Composition Faculty Studios - Full-time	5	14'	x	17'	x	11'	238	1190	1.17	New	\$385	\$538,036
II.K.03	MTC - Music Theory & Composition Faculty Studios - Part-Time	2	14'	x	17'	x	11'	238	476	1.17	New	\$385	\$214,414
II.K.04	MTC/MMI - Staff Assistant	1	8'	x	8'	x	9'	64	64	1.00	New	\$175	\$11,200
SECTION III. FUTURE PHASE II, III, & IV. ACADEMIC FACILITIES													
SECTION III.A-B. MUSIC LECTURE/SMALL RECITAL HALLS - GENERAL MUSIC/MASTERS CLASSROOMS													
III.A.01	Large Lecture/Recital Hall - Lecture/Performance Platform	1	16'	x	28'	x	20'	448	448	1.15	New Shell	\$170	\$87,584
III.A.02	Large Lecture/Recital Hall - Audience Seating Area	1	30'	x	40'	x	24'	1200	1200	1.15	New Shell	\$170	\$234,600
III.A.03	Large Lecture/Recital Hall - AV/Lighting Control Room	1	8'	x	14'	x	9'	112	112	1.15	New Shell	\$170	\$21,896
III.A.04	Large Lecture/Recital Hall - Light/Sound Locks	2	8'	x	8'	x	9'	64	128	1.15	New Shell	\$170	\$25,024
III.A.05	Medium Lecture/Masters Class - Lecture/Performance Platform	2	13'	x	24'	x	16'	312	624	1.15	New Shell	\$170	\$121,992
III.A.06	Medium Lecture/Masters Class - Audience Seating Area	2	28'	x	20'	x	20'	560	1120	1.15	New Shell	\$170	\$218,960
III.A.07	Medium Lecture/Masters Class - AV/Lighting Control Room	2	8'	x	12'	x	9'	96	192	1.15	New Shell	\$170	\$37,536
III.A.08	Medium Lecture/Masters Class - Light/Sound Locks	4	8'	x	8'	x	9'	64	256	1.15	New Shell	\$170	\$50,048

FIGURE 1 Excerpt from a sample building program summary spreadsheet

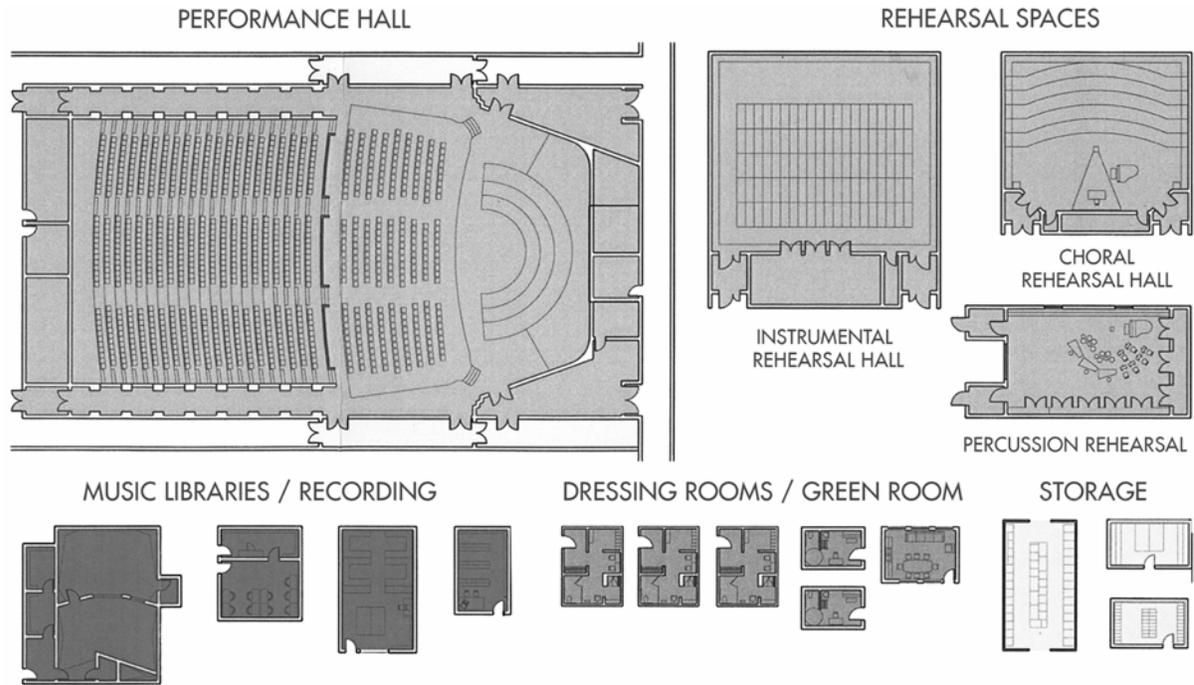


FIGURE 4 Excerpt from a sample building program graphic program diagram

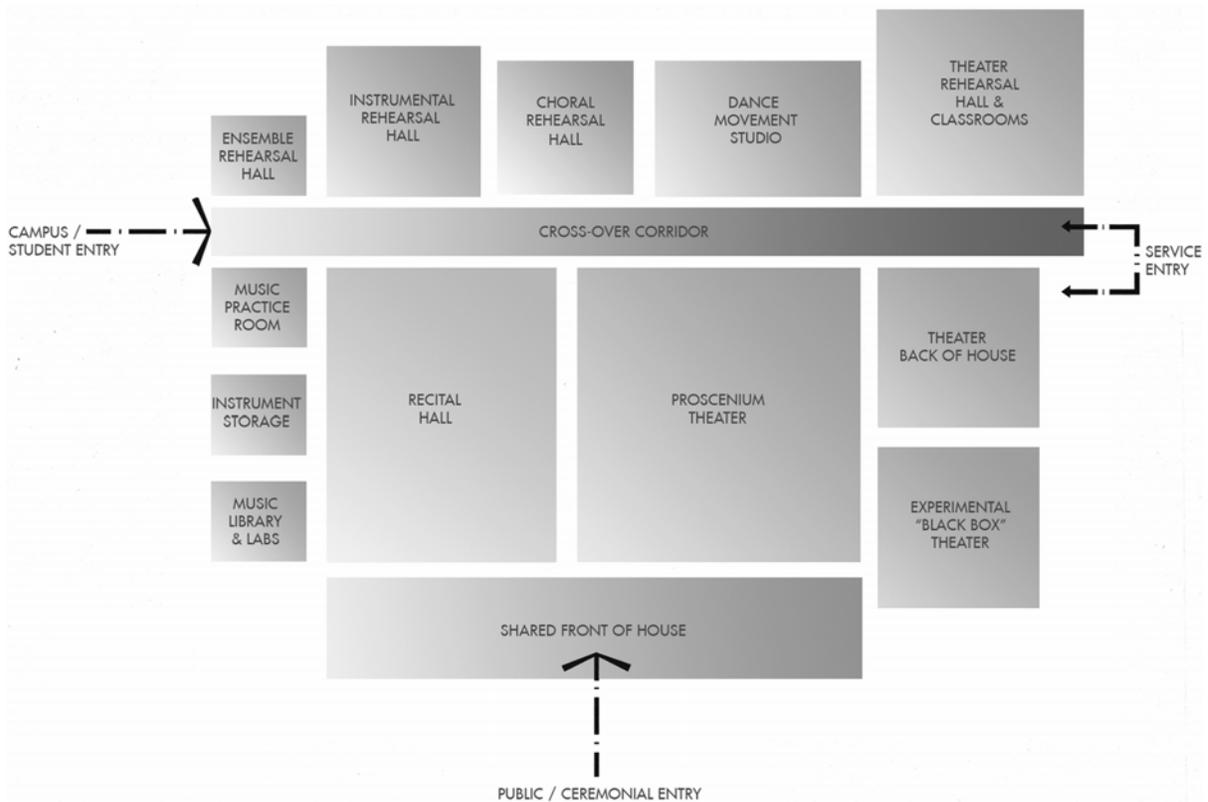


FIGURE 5 Excerpt from a sample building program relationship diagram

Step 4: Project Pre-Design and Anticipatable Fees

As stated earlier in this report, a building program document is not a building design, only a written and graphic depiction of the spaces needed, the technologies to be incorporated, their relationships to each other, and the overall project goals that have been deemed essential by the institution for the initiation of a successful design direction or design solution.

Many institutions ask the design team to prepare convincing and realistic color exterior-interior renderings and computer fly-by-and-through building animations, in addition to architectural site and floor plans (see examples in Figures 6–10). These documents assist in answering the following fundamental questions often asked by skeptical institution administrators, fiscally conservative board members, and potential project donors:

- What will the project look like?
- How big will it be?
- Where will it go on campus?
- What will it cost?



FIGURE 6 Conceptual design floor plan

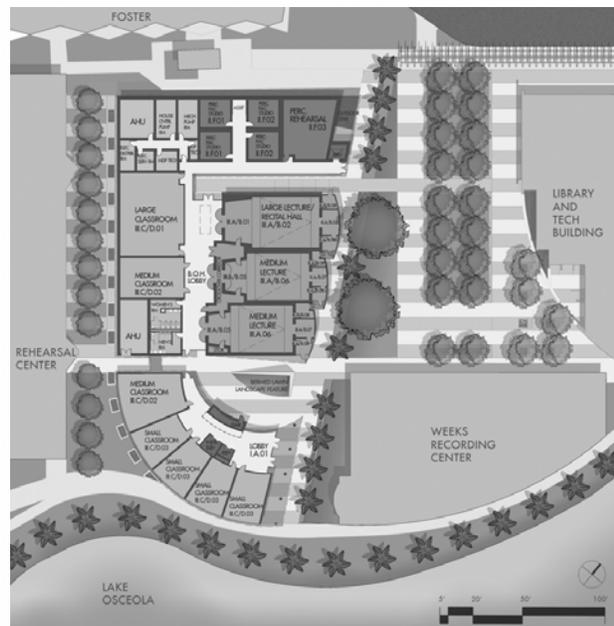


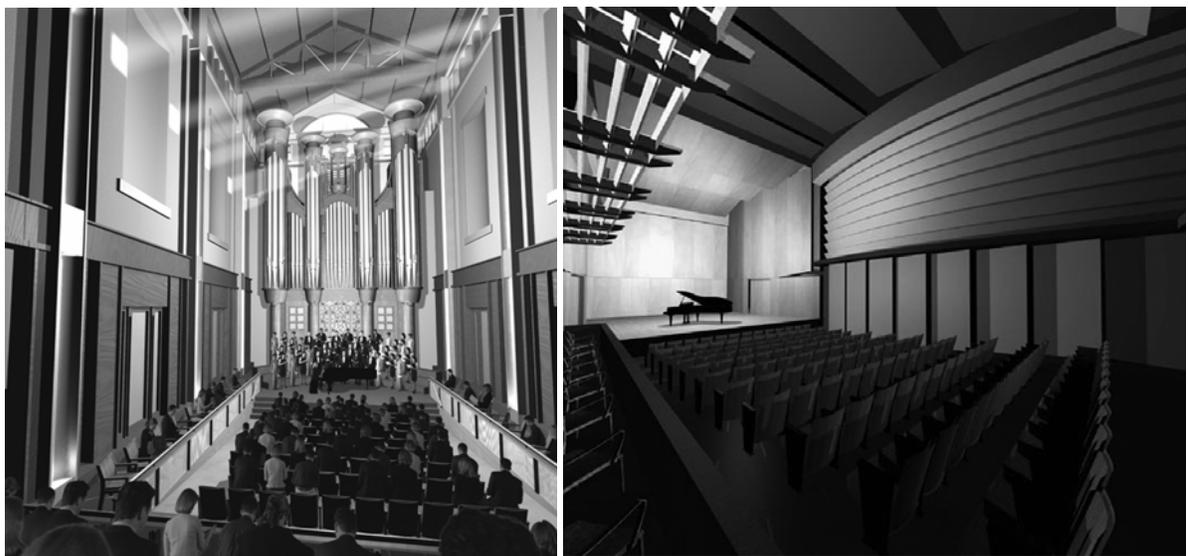
FIGURE 7 Conceptual design site plan



FIGURE 8 Conceptual design bird's eye isometric rendering



FIGURE 9 Conceptual design exterior rendering



FIGURES 10A and 10B Conceptual design interior renderings

Assuming that the institution sufficiently values “donor honesty” when it comes to seeking financial gifts in support of a capital building project, and also that the institution wants to procure the renderings and presentation drawings/tools that actually depict what the building might really look like, the institution and the chosen design team, or another architect of the institution’s choosing, must enter into a pre-design or conceptual design agreement to prepare the building program document.

Architects contract with higher education institutions in many different ways, but professional services fees calculated at a percentage of the cost of construction (CC) is the most common methodology. Performing arts projects requiring new construction command professional basic and special services fees in the 9 to 13 percent range, depending upon the amount of fees paid to basic consultants (i.e., SE [structural], MEP [mechanical, electrical, and plumbing] engineering consultants) and special consultants (i.e., acoustical, theatrical, cost, graphics, data-telecommunications, landscape architect, architectural lighting, civil engineering consultants, etc.).

Basic professional services are divided into five project phases: (1) schematic design phase (SD), (2) design development phase (DD), (3) construction documents phase (CD), (4) bidding/negotiation phase (B/N), and (5) construction administration phase (CA). The American Institute of Architects (AIA) recommends that the schematic design phase represent approximately 15 percent of a total professional services fee with conceptual design comprising approximately one-third of this phase. Therefore, a sample budget for the conceptual pre-design work needed for a building project with approximately 100,000 gross square feet (GSF) of new building construction and a \$300/GSF cost might look like the following:

$$100,000 \text{ GSF} \times \$300/\text{GSF} \text{ construction budget} = \$30,000,000 \text{ construction cost only}$$

$$\$30,000,000 \times 12\% \text{ total professional fee} = \$3,600,000$$

$$\$3,600,000 \times (15\% \text{ schematic design} \times 33\% \text{ completion for conceptual design}) \approx \$180,000$$

$$\$180,000 \times 65\% \text{ net professional conceptual design fees due only architect, acoustician, theatre, and cost consultants} \approx \$120,000^*$$

In summary, it would be reasonable for an institution to assume the following approximate budget:

Building programming	\$80,000
Development of conceptual design for a 100,000 GSF/ \$30.0M performing arts project	\$120,000**
Reimbursable expenses	\$25,000
Presentation deliverables (i.e., donor-attractive computer animations, interior and exterior renderings, color site and floor plans, etc.)	+ \$25,000
	\$250,000

* There may be no absolute need to involve the services of SE, civil, and MEP consulting engineers at this time.

** This suggested conceptual design professional fee is paid only once to a project design team and is deducted from any future paid professional service fees.

Step 5: Estimating

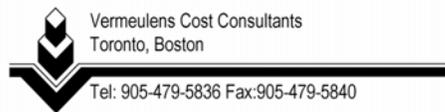
Estimating is simply too complex a subject to be adequately addressed within the limits of this chapter. The main pitfalls of estimating these types of building projects lie in understanding the differences between the following issues:

- \$/SF per space–type cost estimate methodology vs. line-item/material-quantity take-off estimate methodology
- Gross SF (GSF) vs. net SF (NSF)
- Construction cost vs. total project cost

Concerning the difference between \$/SF estimates and line-item/material-quantity estimates, we will begin with the \$/SF per space–type estimate. This type of estimate is typical for building program documents where no actual building drawings exist for an estimator to “take off” or use to measure material quantities. These estimates are fraught with inaccuracies and assumptions, warranting that they be officially called “cost opinions” in lieu of “cost estimates.” But without those detailed and expensive drawings of a real project, which a cost estimator would use to develop projections of actual material and labor quantities, \$/SF estimates are often the best and only method available. Line-item/material-quantity estimates offer much greater accuracy, especially if prepared by a cost consultant who is familiar with performing arts building projects. Figures 11 and 12 show examples of these two methodologies.

Program ID	Room/Area	No	Net (sf)		Room/Area Financials		
No.	Name	Units	Per Unit	Total	Type of Construction	\$/NSF	Total
SECTION 2: ACADEMIC FACILITIES							
Section 2.A MUSICOLOGY DEPARTMENT - FACULTY STUDIOS							
2.A.01	Private Applied Music Introduction Studios - Musicology Department Chair's Studio	1	238	238	New	385	\$91,630
2.A.02	- MCY - Musicology Faculty Studios	3	238	714	New	385	\$274,890
Total Section 2.A				952			\$366,520
Section 2.B Musical Ed & Music Therapy Department - Faculty Studios							
2.B.01	Private Applied Music Instruction Studios - MED - Music Education Faculty Studios	4	238	952	New	385	\$366,520
2.B.02	- MTY - Music Therapy Faculty Studios Classroom Laboratory	2	238	476	New	385	\$183,260
2.B.03	- MTY - Classroom Lab	1	500	500	New	385	\$192,500
2.B.04	- MTY - Classroom Lab Storage Room	1	100	100	New	385	\$38,500

FIGURE 11 Excerpt from \$/SF/space-type cost estimate methodology (Vermeulens Cost Consultants)



Performance Arch
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ELEMENTAL SUMMARY	Level 3 Elemental \$	\$/sf	base building		lecture/recital shell		classroom/fitout	lecture/recital fitout
GROSS FLOOR AREA			\$/sf		\$/sf		\$/sf	
				64,232		7,891	0	0
A1 SUBSTRUCTURE								
A11 Foundations	230,223	3.19	1.86	119,749	14.00	110,474	0	0
A12 Building Excavation	57,875	0.80	0.62	39,600	2.32	18,275	0	0
A2 STRUCTURE								
A21 Lowest Floor Structure	164,445	2.28	1.33	85,535	10.00	78,910	0	0
A22 Upper Floor Structure	1,295,938	17.97	20.18	1,295,938	0.00	0	0	0
A23 Roof Structure	621,638	8.62	5.99	384,908	30.00	236,730	0	0

FIGURE 12 Excerpt from line-item/unit cost summary sheet (Vermeulens Cost Consultants)

Concerning the difference between net SF (NSF) and gross SF (GSF), knowledgeable and experienced design teams will apply at least a 60 to 65 percent efficiency factor to a performing arts project's NSF in order to develop a true number for the total size or GSF of a project. This square footage grossing or "efficiency factor" is applied to a project's NSF to account for the amount of building that must be constructed under thick, sound-isolating/shaped interior partitions, under columns and exterior walls, in hallways, in elevators and fire stairs, in public restrooms, in mechanical-electrical-telephone-custodial rooms, in loading docks, and in weather vestibule building entries. Basically what this means is that for every 60 SF of space that you want in the building, you will build *and pay for* something more like 100 SF.

Finally, concerning the difference between construction cost and total project cost, in performing arts projects the cost of construction normally represents only two-thirds to three-fourths of a project's total cost. The list of additional charges that constitute this 25 to 33 percent increase in total cost is long but often includes such additional project costs as:

- Fixtures, furnishings, and equipment (FF&E—e.g., loose project furniture, classroom audio-video equipment, artwork, administrative computers and fax/copy machines, filing cabinets, movable storage shelving, etc.)
- Special acoustical systems (e.g., recording studio equipment, sound and audio playback systems, adjustable acoustical drapery systems, etc.)
- Special theatrical systems (e.g., performance curtains and "soft goods," theatrical lighting power distribution-fixtures-control, scenery "rigging" systems, audience seating and ADA-compliant sightlines, vertically drawn scenery and acoustical systems, etc.)
- Parking and site work (parking lots and structures, roadways and sidewalks, basic site preparations and finish-grading for new construction and proper drainage, bike racks, emergency campus phones, exterior site and building lighting, landscaping/plant materials and irrigation systems, etc.)
- Campus utility improvements (i.e., the cost of bringing campus electric, domestic water, gas, sewer, data-telephone, energy management, chilled-water, high-temp water, or steam utilities to the building via direct bury or utility tunnel, etc.)
- Professional fees (basic and special service consultants)
- Institution project management fees
- Institution project endowment fees
- Institution internal and/or external fundraising consultant fees
- Programming, design, and construction contingencies
- Construction escalation (required if the project's projected construction is more than a year in the future)
- Owner-furnished telecommunication equipment and wiring
- Moving/relocation and temporary facility costs
- New, reworked, and special musical instruments (e.g., pianos, organs, etc.)
- Extensive project construction administration or "commissioning" expenses (e.g., owner's expense for employing a full- or part-time clerk of the works during the construction phase, post-occupancy expense of project "commissioning" or providing extensive checking of and user instruction on all project systems)

Figure 13 provides an example of a spreadsheet showing total project cost.

PROGRAMMING SERVICES - BUILDING PROGRAM		PERFORMANCE ARCHITECTURE	
TOTAL PROJECT BUDGET COST OPINION VERSION 3.0 FINAL		650 Poydras Street - Suite 2800 - New Orleans, Louisiana - 70130 Programming, Master Planning and Pre-Design Services for the School of Music - PA Project No. 04-030 08/10/2004 (Revision-3)	
Site Preparation and Utilities			
Sitework - Hardscape: Roads/Walks/Rough Grading/Earthwork/Fountain/Benches/Bike Racks - Allowance	\$X	Professional Fees	
Sitework - Softscape: Landscape Materials/Irrigation System - Allowance	\$X	Design Team: Basic Services - ASME 9.00%+/- (less Partial Pre-Paid Conceptual Design Fees)	\$X
Site Utilities - Building: Sewer/Storm/Domestic Water/Power/Data/Natural Gas/Steam/Chilled Central Plant Water	\$X	Additional Services: Partial Pre-Paid Programming-Conceptual Design Fee	\$X
Site Utilities - Campus: Campus Site Lighting/Campus Security	\$X	Building Programming	\$X
Subtotal: Site Preparation and Utilities Connections	\$X	Sector Planning	\$X
Demolition and Hazard Materials Abatement			
Hazardous Material Abatement - Owner-Provided Allowance	\$X	Media-Fundraising Presentation Expenses	\$X
Building 1 - Total Building Demolition Allowance - X SF x \$X/SF	\$X	Extraordinary Building-Zoning Code Work	\$X
Building 2 - Total Building Demolition Allowance - X SF x \$X/SF	\$X	Special Consultants: Allowance	\$X
Building 3 - Interior Demolition only Allowance - X SF x \$X/SF	\$X	Lump Sum Expenses: Travel and other Reimbursable Expenses:	\$X
Subtotal: Demolition and HazMat Abatement	\$X	Project Commissioning - Allowance [No Project Commissioning Assumed]	\$X
Construction			
General Construction Cost Opinion - A/S/MEP	\$X	Temporary Facility Rental Costs	\$X
Graphics-Signage (Donor-Building Signage + Site Marquee) - Allowance (\$X/Rm. Sign + \$X/FI Directory + \$X/Site Sign)	\$X	Construction Administration - Full-Time On-Site Representative	\$X
Owner-Furnished Telecommunications-Data Instruments, Wiring and Equipment - Allowance (\$X/Office)	\$X	Construction Manager - Negotiated CM at RISK per Owner (Note: this does not apply to every project)	\$X
Subtotal: Construction Budget Opinion	\$X	Subtotal: Professional Fees	\$X
Fixtures, Furniture and Equipment (FF&E)			
Movable Project Furnishings	\$X	Project Contingencies	
Moving and Relocation Costs - Allowance per Owner	\$X	Design Contingency (5%)	\$X
Performance/Special Equipment: Theatrical Lighting Systems - Lecture-Recital Halls	\$X	Construction Contingency Reserve (10%)	\$X
Classroom/Lecture Hall Audio-Video Equipment per A/V Consultant	\$X	Subtotal: Project Contingencies	\$X
Faculty Studio Audio-Video Equipment - Allowance per Owner	\$X	Additional Project Cost Escalation - Bid Date/Start of Construction Post June 2006	
Sound & Adjustable Acoustics Draperies Systems - Recital and Rehearsal Halls	\$X	Cost Escalation Factor (0.0034 x 0 Months x Construction Cost - Assume +8% for Phase-V)	\$X
Music Instrument(s) Allowance - Percussion Instruments per Owner	\$X	Subtotal: Additional Project Cost Escalation	\$X
Music Instrument Storage Lockers	\$X	Project Endowments and Penalties	
Subtotal: FF&E	\$X	Project Maintenance Endowment: \$X per Net Increased GSF	\$X
Total Construction Cost Opinion			
Total Construction + Site Work + Demolition + FF&E Cost Opinion	\$X	Lost/Deleted Existing Campus Parking: \$X per Lost/Deleted Auto Parking Space	\$X
Subtotal: Total Construction Cost Opinion	\$X	Subtotal: Project Contingencies	\$X
Estimated Project Cost on Bid Date:			
			\$X

FIGURE 13 Total project cost summary spreadsheet

Step 6: Fund-raising

The need for philanthropic funding of both public and private performing arts building projects is a reality for most institutions. Most institutions need private donor dollars, and private donors need to see what they are funding! It's just that simple.

Most successful institutions have developed their own method of fund-raising, so I will simply say that the products of a contemporary pre-design project phase will provide your fund-raisers with sufficient graphic and cost estimation materials to meet their needs and to answer their donors' questions. These "fund-raising tools" consist of color site and floor plan drawings, interior and exterior 3-D color renderings, and even computer-generated animations illustrating what it might look like to move through and fly around the building. Finally, retaining the services of a professional design team that commits to assisting the institution with fund-raising presentations to key donors can also be beneficial to the overall success of the project.

Summary

It is hoped that the above discussion can serve as a primer on the earliest phases of the architecture and planning for performing arts projects. It should also be noted that most experienced and qualified performing arts architects who are interested in a project will agree to visit an institution without cost or obligation to discuss these matters in person with a building committee, or if travel is not possible, then they will be ready to discuss these matters via telephone or e-mail. A committee's questions concerning the intricacies and subtleties of this type of project need never go unanswered.

Chapter X

Music Building Acoustics

*Charles Bonner, Acoustician, President
BAi, LLC*

Introduction

Typically in music buildings, faculty and administrators (to say nothing of students) only experience a building's acoustics when the building is occupied and in use. Music administrators and faculty are sometimes not even a part of the design and construction team, and frequently they are astonished by decisions that are made before they become involved and occupy their buildings.

The purpose of this chapter is to present to the music executive tools that may be useful in communicating to provosts, university architects, presidents, and facilities personnel the essence of music and performing arts buildings; why rooms are sized in specific ways; what acoustical amenities are required to enable their buildings to perform for their intended purpose; and finally to enable them and their faculty representatives to have a basis for useful dialogue with architects, whether or not such architects are experienced with this building type. Acoustics for truly multipurpose music/theater/dance venues can also be important for the music executive to understand. Therefore, this chapter will discuss the following primary topics of "pure" and amplified acoustics in music buildings that may or may not be shared with theater and dance facilities, and also in multipurpose performing arts centers:

- Internal room acoustics
- Acoustic separation between rooms
- Noise control within rooms
- Acoustics and sound systems relating to multipurpose performing arts centers
- Acoustics for rooms for theater and dance within music buildings or shared performing arts facilities

Selection of the Design Team, Including Acoustician

The design team comprises, at a minimum, an architect, a structural engineer, a mechanical/electrical/plumbing engineer, a civil engineer, a code consultant, a cost consultant, a landscape consultant, an acoustical consultant, and a theater consultant (if theatrical elements are included in the project). These specialists may or may not be included in teams assembled by architects, depending on the university's approach in selecting all the design professionals. The team approach seems to be the most common, although because of frequently mandated interview time constraints, the architect that assembles the team may elect to bring to the interview only themselves and one or two of the important specialty consultants. The team approach brings with it some disadvantages to the music executive:

- The selection of an entire team implies that all team members are chosen as one entity. Sometimes an architect may elect to have the University select some or all of the specialty consultants..
- Interviews with teams may last 90 minutes or less. Some may be restricted to 20 minutes for presentations and 15 minutes for a question and answer period. Such an approach allows insufficient time to get to know the architects' project approaches, to say nothing of those of special consultants.

More useful methods for interviewing architects and particularly special consultants such as acousticians are as follows:

- If using the team approach, allow 90 minutes for presentations and 30 minutes for Q&A.
- Consider requiring architectural teams to come to the interview table with a list of acousticians with whom they have successfully worked on previous applicable projects. Then the university can select from this list, interview each acoustician separately, or express no preference. In the latter case, the architect would make the selection.
- Because good acoustics are difficult to communicate verbally, try to allot time to visit one or more of the referenced projects presented, and hear concerts/recitals and rehearsals in these facilities.
- Ask who, specifically, at the acoustician firm will be assigned to your project, from programming through building completion, together with his or her specific experience in this project type.

Irrespective of selection methodology (and assuming that adequate time is allotted), your acoustician should provide specific references for other similar projects, and be prepared to undertake the following:

- Sit in on faculty/administration meetings during all project design phases, especially programming.
- Ask specific questions during programming and design about your specific academic mission. Is your mission primary devoted to orchestra? bands? chorus? jazz? percussion? voice? teaching or performance emphasis? all of the above? some of the above?
- If determined useful, acoustically benchmark other similar facilities for acoustical positives and negatives. Describe the methodology that will be employed to ascertain causes for positives and negatives.
- Present specific design approaches aimed at helping your facilities meet your academic mission.
- Present specific approaches to acoustical commissioning of your building.

It is highly useful for the music executive to appoint a faculty or staff member to act as a continual interface between the design team and the entire faculty, including the executive. This person attends all meetings and is involved in the construction process, and therefore has frequent opportunity to interact with the acoustician.

Acoustics for Performance

Most university concert halls and recital halls are, by the very nature of music curricula, acoustically multipurpose in nature. Recitals and concerts featuring various types of soloists, chorus, orchestra, wind bands, and jazz, percussion, and chamber ensembles typically take place in such halls, and each requires its own acoustical environment. To audiences, music critics, teachers, and performers, such differences are critical for the public experience and affect the education of student musicians and the audience. The design team must be able to respond to these differences. A “short list” of acoustical amenities influences whether a hall will accommodate its intended purpose. Some of these elements are debatable in terms of magnitude in purely acoustical terms and importance; all are almost universally recognized as of primary importance (“almost” will be discussed in somewhat more depth).

Floor Plan Dimension Ratio (i.e., Length vs. Width)

It is generally recognized that the concept of musical “presence” is controlled first by the time sequencing between the “direct” sound from performer(s) to audience and then by the “first reflections” that arrive at the audience shortly thereafter, primarily from the hall side walls and secondarily from the ceiling(s). The length-to-width ratio controls this acoustical amenity. Values between 3:2 and 2:1 are recommended. For example, a hall that is 100 feet long (including platform) would be assigned a width of 50 to 70 feet. For halls of extreme sizes (very large or very small), this guideline becomes somewhat murky but generally still applies.

Volume in Cubic Feet (i.e., Length x Width x Height)

This value determines the potential of a hall to achieve a specific reverberation time (this differs from the term “presence”). Figure 1 shows a graphic representation of reverberation time. Since reverberation time requirements differ for various ensemble and soloist performances, it is advisable to plan for a cubic footage that allows for the *longest* reverberation time required (i.e., for choral and orchestral ensembles). If a music unit concentrates solely on jazz or wind band performance, then cubic footage appropriate to orchestral performance would be an economic and acoustic waste. The values presented apply to this topic and are given in terms of cubic feet per occupant. Divide the volume of the hall by the number of occupants (including platform musicians). In the absence of a specific quantity of occupants, assume 9.5 square feet per audience occupant, and 20 square feet per occupant for the concert platform.

Choral and orchestral ensembles:	350 to 400
Wind bands, percussion ensembles:	280 to 320
Jazz:	250 to 280
Organ performance:	600 to 800

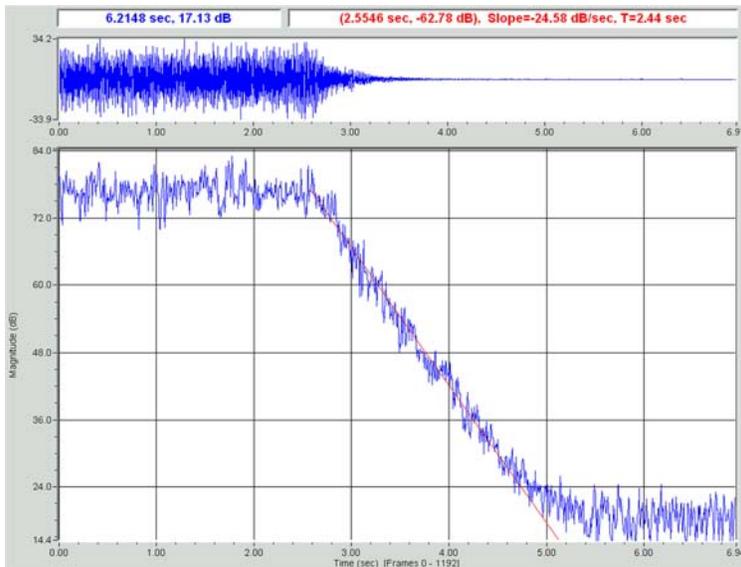


FIGURE 1 Illustration of a hall reverberation time. Measurement one octave above middle “C,” 2.44 seconds

Most music buildings’ pure concert halls are required to accommodate more than one of the above, and accommodation for all of the above is frequent. In such cases (except for organ performance, which will be discussed as a separate topic), the higher volumes would apply, using adjustable acoustical devices to reduce reverberation time for other types of presentations.

The inclusion of a balcony does have an effect on volume determination. If the balcony is small in depth (i.e., no more than 3–5 seating rows), the effect may be addressed by calculating the volume separately for the orchestra seating and balcony seating, summing the two volumes, then dividing by total occupancy. Large, deep balconies should be avoided.

Acoustical “Warmth”

The acoustical “warmth” of a performance hall is influenced primarily by the weight (i.e., mass) of the wall and ceiling surfaces. This effect is related to the bass response of the hall. The specific weight of these surfaces is selected to enhance bass energy for the hall’s intended purpose. Depending on the function of the hall, the surfaces may be constructed from multiple layers of drywall, wood, thick plaster, concrete, or other dense materials. Thin materials with air spaces behind them should be avoided. Wood is considered to be an excellent acoustical material, but only if its thickness measures at least two inches or it is mounted to a massive substance.

A hall with a “diffuse” sound field normally has acoustics that are fairly uniform in loudness and music response. Acoustic diffusion may be achieved with (1) geometrical irregularity within wall and ceiling surfaces (see figure 2); (2) balcony, loge, or box seating elements; or (3) a combination of both. Halls with significant seating sections surrounding the upper levels sometimes require less wall shaping. Acousticians hold differing viewpoints on the importance of this topic.



FIGURE 2 Illustration of a hall with geometrical shaping to achieve acoustical diffusion

Acoustical “Clarity”

Acoustical “clarity” frequently is judged to be as important as reverberance. In a reverberant hall, clarity can be optimized using the simple design tool of audience floor elevation changes (“rake”, “step,” or “slope”). Floors with minimum slope typically generate less clarity compared with slopes or steps that gradually increase with distance from the platform.

Adjustable Acoustical Systems

When a hall’s volume is selected to meet the most reverberant function needed, its users frequently seek to reduce reverberation time for concerts that require less. Such “passive” methods commonly rely on vertically or horizontally deployed sound-absorbing curtains or heavy fabric, either exposed when deployed or concealed behind sound-transparent surfaces such as metal mesh, thin fabrics, or wood latticework. Other, more esoteric materials are also used occasionally, but all of the systems use materials that are sound-absorbing. Deployable materials that are exposed are typically more effective than those that are concealed, depending upon the sizes and dimensions of wall or ceiling openings that conceal such materials. Most sound-absorbing materials are more efficient at higher pitches than lower ones, and therefore the degree of acoustic adjustability is greater or lesser, depending upon the pitch. A “more active” approach to acoustical adjustability includes acoustically coupled “reverberant chambers,” which are dedicated, nonoccupied volumes that are acoustically connected to the hall. Heavy doors, either automatically or manually deployed, expose or conceal the chamber volume from the hall. This approach adds reverberation to the acoustics.

For true multipurpose concert halls, there is never “too much” adjustability when jazz, electronic music, or pop concerts occur. The “ideal” is approached when 50 percent of the available side wall area is covered by sound-absorbing materials when deployed. In addition, acoustical adjustability is advisable within the concert platform envelope as well as within the

audience chamber. This may be achieved with traditional curtaining or other deployable systems, or with portable sound-absorbing devices.

Variants on the “Traditional” Approach

The historic “traditional” design model maintains a wrapped hall concert platform, with hard wall surfaces surrounding the musicians. One variant gaining in popularity is that of wrapping the upper areas above the platform with seating, so that those audience members view the musicians and conductor from the rear and sides. This approach produces a different acoustic on stage and within the audience, because the “early” acoustic reflections from upper platform walls arrive later than with the traditional model. A second variant, more encompassing than any other, is that of the “hall in the round” model. Examples of this model are found in Berlin, Denver, and Los Angeles (the Disney Hall). The acoustics of such halls are again different from the traditional model, due primarily to ceiling surfaces being the most valuable contributors to early sound reflections. The scope of this narrative is not to express preferences for one approach over another. The reader is encouraged to hear performances within each of these design approaches when possible.

Multipurpose Performing Arts Center Hall Acoustics

In this model, an audience chamber is separated from the performers by a framed stage (proscenium) opening. The acoustics of such a space must accommodate performances ranging from symphonic ensembles to musical theater, opera, lectures, and a host of other event types.

The principal element provided for music ensembles on stage is an enclosure that both visually and acoustically surrounds the performers (i.e., a shell). Both the top and sides of the enclosure must be moved offstage and stored when not in use. This can be accomplished in any number of ways, including “flying” the ceiling panels and “nesting” wall elements offstage, complete movement of the enclosure into “garages” behind the stage house, and other more exotic plans. Various acousticians have differing design philosophies that govern their enclosure designs, ranging from “airtight” systems to individualized panel systems that tend to allow some sound energy to escape into the fly tower or through openings above the proscenium opening walls. All of these approaches have acoustical, structural, space, and economic advantages and disadvantages.

The weight of the enclosure units must be sufficient to reflect low-frequency (bass) energy. Since it is not commonly cost-effective to replicate the weight of the audience chamber walls and ceilings, acousticians and enclosure manufacturers tend to maximize the weight of the enclosure elements, while facilitating rapid storage deployment. The enclosure must be shaped in such a manner that acoustic energy is dispersed into the audience chamber properly.

The audience chamber acoustical design criteria are similar to those of a pure concert hall. The reverberation time requirements for musical theater and lectures are not significantly different than those for jazz performance in a concert hall.

Acoustics for Organ Performance

This specialized area of acoustics carries perhaps more caveats than any other topic within acoustical performance. Nevertheless, what follows is an attempt to quantify some of the possible variables.

- When designing a concert or recital hall, never increase cubic footage purely for the sake of organ acoustics. This practice would risk poor acoustics for all other concerts.
- Halls built purely for organ performance can be optimized for the function, with the following generalities.
 - Volume per occupant should not be less than 500 cubic feet and can be as much as 1000, depending on the size of the instrument and the occupancy. The optimum target is 600.
 - The weight of the room surfaces is more critical than in a multifunction concert or recital hall, because pitches as low as 30 Hz (represented by the 32-foot pipe length) must be reflected and enhanced.
 - The instrument should be small in comparison to the room size, to avoid overpowering of the hall by the instrument. The “ideal” configuration features long, narrow, and tall rooms with the instrument at one end. The casework and pipes themselves are sound-absorbing; therefore, large instruments positioned near the center of small halls typically do not perform well.
 - Acoustically “hard” materials all possess some minuscule amount of sound absorption. Brick and concrete block, for example, tend to be acoustically porous and can be quite sound-absorbing at very high harmonics.
 - Acoustical diffusion is important, particularly at the walls behind the audience.
 - No sound-absorbing materials, such as carpeting and upholstery, should be used on the floor, audience seating, or anywhere else.

Acoustics for Rehearsal

Should rehearsal room acoustics somehow replicate those of performance halls? If so, to what extent? How can this be achieved in much smaller rooms, if at all? Are clarity and definition more important than liveness, and if so to what extent? How can rehearsal rooms work for multiple ensemble types (never mind scheduling difficulties)? This section discusses the typical rehearsal space required for music buildings and ways to resolve these kinds of questions.

Instrumental and Choral Rehearsal

A number of elements common to many instrumental and choral rehearsal rooms can take care of many of the acoustical concerns that arise when designing rehearsal space. The design process should follow these guidelines:

1. Determine maximum occupancy. Multiply that number by 25 square feet (assuming no built-in instrument storage), 35 square feet with significant permanent storage. This will produce the room’s square footage value.

2. Set floor plan ratio (length to width) at approximately 3:2. This will determine the room shape.
3. Assign cubic feet per occupant at approximately 400. This calculation will determine the gross ceiling height (usually 18 to 23 feet in most large rehearsal rooms for instrumental and choral work).
4. Enable deployable sound-absorbing materials (such as heavy curtains) to cover 50 percent of all walls (usually 100 percent of walls above a height of 10 feet).
5. Lower walls (from floor to about 10 feet) should not be parallel, or should contain significant geometrical shaping elements.

This design concept enables the conductor to adjust the room reverberation for “dry” acoustics maximizing clarity and definition or “live” acoustics that will more closely approximate the environment of a live performance hall. However, since rehearsal rooms are much smaller than performance venues, exact replication is never achieved.

Jazz or Music Technology Rehearsal

Square footage calculations for instrumental/choral rooms also apply to jazz spaces, although using 35 square feet for the calculations will permit conductors to set up the musicians in flexible ways. The cubic feet per occupant should be set at 250–300.

These rooms must be acoustically very “dead,” in order to preserve occupants’ hearing and to achieve maximum clarity. Almost all of the room surfaces must be highly sound-absorbing. It is important to interview jazz faculty to ascertain whether any acoustical adjustability is required.

Acoustics for Private Music Instruction

Faculty teaching studios should be sized to accommodate the instructor and one or more students. Most of these rooms contain at least one small grand piano or upright, one or more chairs and music stands, furniture, and private music libraries. Faculty occupants of these rooms spend several hours each day in private instruction, and many prefer to personalize their rooms with area rugs, artwork, and the like. Ceiling heights must be sufficient to permit sound waves to properly fill the space and not be “constricted” by insufficient cubic volume. Suggested room dimensions for a single-piano room are 14’ W x 17’ L x 11’ H. Hard-surface floors are suggested, to enable the faculty occupant to choose the appropriate floor coverings. Selectable hanging sound-absorbing wall elements are also suggested, to enable the faculty member to select the acoustic environment desired. These elements may be interspaced amongst artwork and furniture.

Acoustics for Student Practice

Perhaps because of the quantities of rooms that must be devoted to practice, and also because of economic considerations, many of student practice rooms are acoustically undersized. Rooms of 50 square feet or less are frequent, presenting the students with the “small cubicle” approach to practice. Prefabricated practice modules are frequently too “dead” acoustically to enhance the practice experience. Available options include prefabricated vs. built by the contractor “dead” vs. “resonant” acoustics, electronic enhancement of sound within an acoustically “dead” space, and subvariants of these.

The balance between the quantity of rooms and the quality of the practice experience should be uppermost in the minds of building planners. The music administrator and faculty are in the best position to offer advice. Some maintain that practicing in a lobby or stairwell is better than in a small cubicle, saving “woodshedding” for small, confined spaces.

With due respect to these considerations, the following approach is suggested:

- Ceiling height should be a minimum of 9 feet. In the author’s opinion, the lesser height offered by prefabricated rooms represents an acoustical disadvantage.
- Minimum room size of 60 square feet is suggested. If absolutely necessary, include a minimum quantity of 50 SF rooms.
- Consider rooms designed with varying acoustical environments.
- Consider prefabricated vs. contractor-built rooms carefully, taking into account economics and acoustical separation (refer to the “Acoustic Separation Between Spaces” section of this chapter), along with the value of electronic acoustic enhancement functions.

Acoustics for Audio Recording Technology

This topic is one of the more esoteric and complex in the industry, and the specifics are beyond the scope of this discussion. Facilities for recording may include one or more of the following:

- A small, simple control room intended for audio reference recordings originating within one or more performance or rehearsal spaces. Internal room acoustics are designed to be very dry.
- A larger, more complex control room intended both for reference recordings and for multitrack recording, editing, and mixdown functions. Within such rooms, reverberation times are typically extremely short (less than 0.4 second), dedicated bass absorbers are provided, and special acoustic diffusing and wall-shaping elements are provided.
- A dedicated recording studio, accommodating a specific musician occupancy, designed as a stand-alone “open mic” space for recordings serving specific ensemble/soloist functions. Such rooms, depending on the mission, are designed for either very dry or adjustable acoustics.
- A “voice-over” room, typically used for narration and other “spoken word” functions, typically very dry acoustically.

Associated ancillary rooms for storage, digital/analog libraries, faculty offices, and the like. The scope of the department’s need for such facilities, if any, should be determined during the initial programming phase. This task is a simple one if the music unit includes one or more faculty members who either teach this technology or use it themselves. Sometimes a staff member, either full- or part-time, executes the technology during rehearsals and performances. In the absence of any faculty or staff input during programming, the music executive would assist in the programming in an advisory capacity.

Sound Transmission Between Spaces

Music buildings are unique compared to other university building types, for two primary reasons. First, unlike speech, which is the mode of communication within classroom buildings, libraries, science buildings, and the like, music is “tonal” in nature and is therefore heard much more easily by the observer in adjacent, nearby, or even more remote rooms in a building. Second, music, also by its nature, can be extremely loud, particularly in confined spaces such as teaching studios and practice rooms, but also within rehearsal and performance venues. Whereas typical instructors’ amplified or nonamplified voice loudness levels are 65 to 75 decibels (dB), music can approach levels of 100 dB. Both of these elements, in creating the acoustic challenges in music building design and execution, tend to make these construction projects much more expensive than other university building types.

Building Efficiency

The ratio of net (i.e., assignable) square footage to gross (i.e., assignable added to unassignable square footage) is called building efficiency. Examples of unassignable square footage include hallways, mechanical rooms, restrooms, unassigned storage rooms, and floor area concealed by walls. Typical classroom buildings are approximately 75 percent efficient (i.e., for every 100 SF of building, 75 are assignable). However, music buildings typically fall between 60 and 65 percent efficient, primarily for the following reasons:

- Hallways are wider, in order to facilitate the movement of large musical instruments between various parts of the building.
- Walls are much thicker, in order to attenuate sound between and among spaces.
- Because music buildings require that heating, ventilation, and air-conditioning (HVAC) systems be extraordinarily quiet, ductwork, air handling units, and mechanical rooms are all much larger than in a typical university building.

Typical Paths of Sound Transmission

In a music building the ways in which sound frequently travels from one part of the building to another include:

- Through walls, floors, ceilings, and doors via the air
- Underneath and above walls via floors and roof structures
- Through and around ductwork, piping, conduit, and the like
- Through building structures, either originating in air (as in sounds presented by percussion instruments) or by direct connection to floors by musical instruments (e.g., piano, percussion)

Design Tools for Acoustic Separation Between and Among Spaces

The tools that an acoustician will choose to achieve acoustic separation depend heavily upon the types of rooms and adjacencies required. For example, a jazz rehearsal space directly adjacent to a performance hall would require more isolation than a pair of teaching studios for applied music performance. Similarly, percussion rooms require greater isolation from

surrounding spaces than other sets of rooms. The following tools are available to the acoustician:

- Walls containing concrete block, multiple layers of drywall, air spaces, and/or various combinations of these elements
- Building expansion joints
- Simple floor slab breaks
- Suspended spring-isolated multiple drywall ceiling systems
- Floating wood floor assemblies
- Floating concrete floor assemblies
- Heavy, sound-retarding doors
- Corridors separating sound-sensitive spaces
- Acoustically “benign” rooms such as music libraries and storage rooms separating sound-sensitive spaces
- Sound/light locks
- Special sound-retarding window assemblies
- Special duct routing and treatments
- Special pipe and conduit treatments
- Specially designed HVAC systems to generate some “masking” or white noise within practice rooms and teaching studios

Design practices for the various space types are assumed as follows:

- Acoustic isolation between teaching studios should be as complete as possible.
- Corridor walls and door systems should be such that sound is audible in the corridors but room-to-room isolation is not compromised.
- Student practice rooms may be designed to be similar to teaching studios. However, for economic reasons this equality may not be achievable; generally practice rooms will achieve less isolation.
- Percussion room isolation should be at the maximum level with respect to all surrounding areas; some reduction in isolation is permissible at corridors only.
- Performance halls should be completely isolated from each other and from nearby rehearsal rooms.
- Rehearsal rooms should be completely isolated from each other and from surrounding spaces.
- Audio recording studios and control rooms should be completely isolated from surrounding spaces (including corridors).

Some or possibly all of the elements that influence acoustical isolation are applicable to each architectural element in the building, depending upon adjacencies and STC ratings. For example, adjacent teaching studios require either wood or concrete floating floor systems, to prevent transmission of sound through floors under walls to the adjacent rooms.

Routing of ductwork within the building must be designed to avoid “cross-talk” between spaces. For example, ducts serving teaching studios must be routed from adjacent corridors rather than across dividing wall systems. Internal lining or other sound-absorbing ductwork

must be provided in all cases to avoid such short-circuits around wall and other demising building elements. Figure 3 shows an example of proper duct design for a series of practice rooms.

Sound transmission class (STC) is a single-number rating that describes the level of acoustic separation between spaces. The term is similar to dB; higher numbers indicate greater sound separation. The STC ratings for music building spaces should achieve the following values:

Between teaching studios:	65–70
Teaching studios to corridors:	50–55
Between practice rooms:	55–60
Practice rooms to corridors:	40–45
Performance halls to rehearsal halls:	75–85
Rehearsal halls to performance halls:	75–85
Recording rooms to all spaces:	80–85
Performance/rehearsal halls to public areas:	55–60

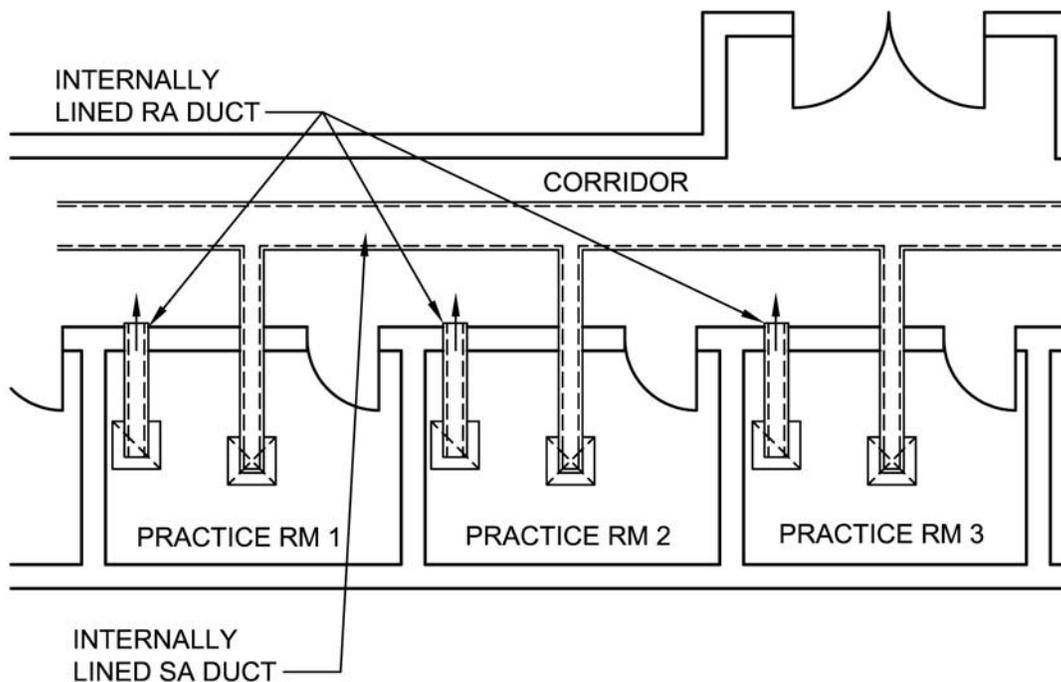


FIGURE 3 Illustration of a row of practice rooms or studios with correct duct design. SA = supply air; RA = return air

Each STC rating carries with it a certain wall or other element thickness. The music executive or the designated representative should review a set of completed schematic design drawings and check the wall thicknesses for accuracy. If wall thicknesses are significantly less than the recommended values, the dimensions must be corrected in order to avoid a loss of net square footage within each room. The recommended wall thickness measurements are as follows:

Between teaching studios:	18 inches
Teaching studio to corridor:	10 inches
Between practice rooms:	12 inches
Practice room to corridor:	6 inches
Between percussion rooms:	24 inches
Percussion room to corridor:	18 inches (with sound locks)

HVAC System Noise

Background noise generated by mechanical systems may be completely undesirable or permissible in varying degrees in music buildings and performing arts centers. In general, noise may be permissible in varying loudness levels in such areas as lobbies, corridors, storage rooms, and other unassigned areas. In the case of teaching studios and practice rooms, some audible but unobtrusive noise is permissible and even desirable to mask any residual sound that may be transmitted through structures.

The term “NC” refers to the loudness of continuous building background noise. Higher numbers refer to more noisy conditions. The meaning of the numbers may be approximated by the following (all assuming no music or other program material being performed or rehearsed):

NC-15:	Not audible
NC-20:	Audible under extremely careful listening
NC-25:	Audible under moderate listening
NC-30:	Audible
NC-35:	Maximum permissible, teaching/practice conditions
NC-40:	Suitable only for lobbies and other public areas

Design guidelines for spaces within music and performing arts buildings are as follows:

Performance spaces:	NC-15 to NC-20
Rehearsal rooms:	NC-20 to NC-25

Teaching studios/practice rooms:	NC-30 to NC-35
Recording studios:	NC-15 to NC-20
Lobbies, corridors:	NC-35 to NC-40

HVAC noise sources are numerous, and the individual source components are summed to create an overall continuous noise “floor.” In general, acoustically quiet spaces involve large and sound-absorbing ductwork, lengthy distances between equipment and function rooms, and specially designed duct routing systems.

Audio Systems for Amplification, Reproduction, and Recording

For discussion purposes, there are basically these three types of audio systems. Amplification involves live microphones as sources, either for voice or musical instruments. Reproduction involves CD/DVD players, computers, or other sources that are not live microphones. Recording systems involve live microphones serving performance and/or rehearsal rooms and connected to recording electronics, either localized for individual rooms or centralized to serve multiple rooms.

It is important for the design team and music executive to determine which rooms require such sound systems and for what function. This task should occur as a part of the building programming phase. The acoustical consultant can then provide program-level cost estimates for such systems to be included in the program document, together with narratives that describe the system elements and performance.

The performance elements of primary importance are (1) loudness capability with no distortion; (2) frequency response; (3) spatial variation in loudness over the audience area; and (4) potential gain before feedback.

A Brief Discussion of Acoustical Modeling, Auralization, and Measurement Technologies

Computer Modeling. The computer programs Odeon and Ease are perhaps two of the best examples of this technology. Examples of the deliverables from modeling include line ray tracings, reverberation time predictions, early reflection characteristics, and so on.

Physical Modeling. This approach involves the actual construction of a scale model of a hall, followed by its evaluation with pitches (tone bursts) that are up-scaled in ratio to match the ratio of the model’s scale to that of the real hall.

Auralization. Auralization involves the translation of the mathematical or physical model to actual listening. The media over which the listening occurs can be headphones or loudspeakers. Many modeling programs have auralization components. The technology is quite young and will experience many upgrades and improvements during the next decades.

Acoustic Measurement Technologies. These technologies involve executing measurements after construction of a hall is complete. Typical software for this application as of August 2006 includes SIA Smart Acoustic Tools, Easera, and Praxis. All aim to measure and document such acoustic features as reverberation time, strength of individual

acoustic reflections, bass ratios, and a host of others. Most of this technology has come to the industry between the late 1990s and early 2000s.

Conclusion

Music and theater buildings are among the most complex to design and construct. The architect, specialty consultants, and contractor (or construction manager) must be carefully selected. Music faculty representatives should remain interested and involved throughout the design and construction process. It is likely that those involved will find it a rewarding and challenging experience.

Chapter XI

Instruments and Equipment

*Nicholas DeCarbo, Associate Dean
Frost School of Music, University of Miami*

It goes without saying that music units need considerable equipment such as acoustical shells, staging, risers, chairs, music stands, podiums, instrument storage cabinets, laboratory workstations, music library systems, audio systems, and quality instruments. All music programs also need equipment devoted to technology, including hardware, software, and furniture. Because of advances in technology, music units use an array of electronic keyboard instruments for piano labs, classrooms, recording studios, music technology centers, and faculty studio/offices. Of course, music units also continue to need traditional acoustic instruments, such as concert grand pianos, upright pianos, harps, contra clarinets, English horns, contrabassoons, a full complement of percussion instruments, and sousaphones for the marching band. According to the Higher Education Arts Data Survey (HEADS), 474 public and private accredited and nonaccredited music units in the United States reported spending an average of \$53,440 on equipment, \$16,336 on leases and rentals, and \$9,861 on repair during 2004–5. During that same period, 358 music units reported spending an average of \$17,051 on technology.

This chapter discusses the planning process needed for the purchase and/or lease of equipment, instruments, and technology-related items, along with guidelines for maintaining inventories.

Planning for Equipment and Instrument Purchases

Due to the lack of competition, the cost of equipment for performance venues, rehearsal spaces, and faculty studios is high compared to equipment purchases in many other areas of the university, excepting the sciences. Moreover, the music executive is often in the position of having to convince the higher administration that the needs are valid. Most college and university administrators know nothing about the music unit's need for balanced instrumentation, why a contrabassoon is needed, or why squeaky choral risers need to be replaced.

Many, if not most, colleges and universities engage in a strategic planning process in three-, five-, or ten-year cycles. And most would agree that equipment and instrument purchases need to be addressed in such plans. A three- or five-year instrument purchase plan should (1) contain an itemized list of the equipment/instruments that the music unit will need in the next three to five years, (2) explain how the purchases will assist in meeting the goals and objectives of the unit's degree programs, (3) outline plans for the implementation of new programs requiring additional equipment/instrument expenditures, and (4) contain an itemized list of the cost, funding sources, and applicable fees. Appropriate faculty should always be included in the planning process.

With regard to the yearly implementation of the purchase plan, faculty should be asked to submit their purchase needs for the upcoming academic year during the spring semester

so that purchases can be made prior to the fall semester. The requests should include a brief rationale explaining the importance of the acquisition to the area of study; a description of the item, including brand, model number, and estimated cost; and contact information for the designated vendor. Depending on the structure of the music unit, the requests should be submitted first to the area or division coordinator, program director, or department chair. The requests should then be compiled, prioritized, and submitted to the music unit's administration for review. Final decisions regarding approved purchases for the upcoming year should be communicated to faculty prior to the end of the spring semester. Faculty participation in the purchase of equipment encourages them to think creatively while sharing their knowledge and ideas with their colleagues. They can be an indispensable source of information regarding quality, vendors, and possible funding sources.

Planning for Technology

Since technology permeates every facet of the daily teaching and learning environment in higher education, the music executive may have less difficulty convincing higher administration of the need to spend money on computer hardware and software than on music stands, risers, pianos, English horns, and percussion instruments. While an English horn may last thirty years, a computer and content-specific software may be current for no more than one to two years. A two-year-old computer may be four computer generations old. The replacement of computers and software is ongoing, and keeping up with the latest bells and whistles is expensive.

Involving faculty in the planning for technology purchases is imperative. The creation of a technology committee, with faculty representatives from each area of the music unit, is a logical first step. Traditional performance faculty often do not see the relevance of technology to their teaching, making it that much more important that they be included. Round out the committee's representation by including the unit's webmaster, a recording engineer, and a keyboard technician. The committee's main charge should be to consider the short- and long-term technology needs of the music unit, including computers, electronic communications, and student/faculty laboratories. The individual who bears the overall responsibility for technology in the music unit should probably be considered for the position of chair of the committee.

Purchasing Instruments

Large instrument manufacturers in the United States produce quality products that are competitive with those produced in other parts of the world, but there are many less scrupulous manufacturers that produce decidedly inferior products. With string instruments, this problem is manifested in the form of shoddy materials, poor finishes, badly fitted parts, and inferior tone quality. In brasses and woodwinds, the most noticeable problems are the use of thin metals, poor finishes, and cheap pot-metal keys that are badly aligned and break easily. Let common sense be your guide. If the deal is too good to be true, it is. When it comes to quality, you get what you pay for.

Purchasing instruments through a local dealer is often more advantageous than purchasing from sale houses across the country. You may pay a little more with the local dealer, but you will usually receive outstanding service and repair capabilities. With mail-order purchases, not seeing or hearing the instrument puts the purchaser at risk from the start. You may have no recourse if something goes wrong with an instrument purchased in

this manner. Local dealers and/or repair technicians often refuse to work on instruments that were purchased elsewhere. With electronic instruments, it is especially important to deal with vendors that have the capability of providing technical support. In addition, it is wise to purchase an extended warranty on electronic instruments.

For tax purposes, people occasionally want to donate an instrument and will need to know the value of the instrument. Market forces determine value. Generally speaking, an instrument is worth what someone is willing to pay for it. An appraiser can estimate the current market value based on examination of the instrument, knowledge of the market, experience, and records of past sales of similar instruments. Price guides for used musical instruments are few. The Orion Research Corporation publishes a price guide for used musical instruments, including pianos, organs, and electronic keyboards. The *Guitars and Musical Instruments Blue Book* includes acoustic string instruments, woodwind and brass instruments, and percussion instruments; and the String Letter Press annually publishes the *Musical Instrument Auction Price Guide*, listing the price of string, brass, and woodwind instruments and pianos sold at auction.

Lease/Purchasing Arrangements

Certainly the highest instrument costs for a music unit are quality acoustic and electronic keyboard instruments. A small music unit with fifty music majors probably has an inventory of at least twenty acoustic pianos. A larger music unit with 250–500 music majors may have one to two hundred acoustic pianos. A new concert grand piano can now cost \$90,000. It is not uncommon for a music unit to have an inventory of acoustic pianos and electronic keyboards valued in the millions of dollars. How does the music executive find the funds to purchase or replace expensive keyboard instruments? Many music executives have turned to lease/purchasing agreements involving the music unit, a large keyboard manufacturer, and a local keyboard dealership. Though some schools once balked at the idea of leasing, they now realize that today's lease/purchasing programs provide a practical and economical way to cope with the higher costs of these instruments and increasingly tighter budgets in higher education.

The most common lease/purchase plans involve acoustic and electronic pianos. Most large keyboard manufacturers are willing to provide, for no or little initial cost, quality keyboard instruments for performance halls, rehearsal halls, faculty studios, practice rooms, and piano laboratories. The agreement is executed by (1) the music executive, (2) the college or university's business officer, and (3) the dealer. The dealer agrees to provide a specific number of acoustic pianos for a year, at the end of which the pianos are removed and sold at a reduced cost to the public, and new pianos are brought in again to replace them.

Most dealers assume responsibility for (1) shipping, receiving, uncrating, delivery, and placement of the units; (2) the cost of cosmetic maintenance resulting from normal wear and tear; (3) warranty service; and (4) reimbursing the music unit for the costs associated with the design, production, and mailing of sale announcements. The music executive maintains the right to approve all promotional materials. The music unit will usually be asked to agree to (1) be responsible for the routine maintenance of the instruments, including tuning, voicing, and action regulation; (2) provide reasonable protection of the instruments by establishing appropriate controls and security; (3) be responsible for any neglect that causes severe damage during the term of the agreement; (4) allow the dealer and piano manufacturer to use the name of the music unit in the public release of information about the brand/s on loan; (5) cooperate with the dealer in the on-site sale of the units (the university should be aware

of this before entering into any agreement); and (6) provide a mailing list of faculty, alumni, and other constituents. The agreement may include a clause specifying that the music unit will buy a percentage of the leased units each year, such as 15 to 20 percent, until the inventory is completely owned by the college/university, and the agreement generally contains a termination clause giving either party the right to terminate the agreement with prior written notice.

Another common lease/purchasing agreement enables music units to maintain a sufficient number and variety of woodwind, brass, and string instruments for the techniques classes that make up such an important component of the music education curriculum. Commonly, a music unit will have ten of every instrument for these classes—flutes through tubas, violins through double basses, and a variety of percussion instruments. Large instrument manufacturers are in a position to provide these instruments in the specified quantities almost immediately upon execution of such an agreement.

Yearly purchases of instruments must take into account annual price increases. With a yearly, renewable lease/purchasing agreement, no price increases on the instruments are allowed during the term of the lease, which means that the music unit's instrument inventory can continue to grow with the assurance that their carefully planned budget will not suffer inflationary pressures. Most agreements contain an option for purchase of the instruments; some specify that the music unit is required to purchase the instruments, or a number thereof, within a specified amount of time. Most manufacturers do allow the music unit to terminate the lease if it is unexpectedly unable to come up with the necessary funds.

Leasing instruments can be a good thing if done properly. For a music unit with a large budget, \$20,000 is not an unreasonable amount to spend on instruments, excluding pianos, in one fiscal year. However, for a small music unit, coming up with the funds necessary to make a cash purchase can be quite difficult. Leasing can actually be more economical and practical than waiting several years to purchase needed instruments.

Maintaining Instrument Inventories

It is important for the music executive to determine if the inventory will be maintained by the central music office or by individual faculty members. If possible, it is a good idea to appoint a member of the faculty, that is, an area supervisor, in each program to oversee their inventory. The supervisor should assess the conditions of the instruments prior to the start of classes in the fall and spring semesters to identify the maintenance and repair work that needs to be done by a competent repair specialist. Separate policies and procedures should also be established for the instruments that are used in music education classes and the instruments that are loaned to students and faculty. The area supervisor reports to the music administrator who is responsible for the unit's entire inventory. Inventory software programs are available that can aid in the process. In addition to containing basic information such as name, brand, and model number, such programs assist in keeping track of instrument value and depreciation, accessories, and repair/replacement schedules.

Conclusion

As with any activity, the more time, effort, and attention the music unit devotes to planning for the purchase, inventory, maintenance, and replacement of equipment and instruments, the less time it will have to spend dealing with the ongoing responsibility involved in the day-to-day workings of these activities.

Chapter XII

Technology and the Music Unit

*Donald E. Casey, Dean
School of Music, DePaul University*

Introduction

Among the many chapters of this book of management principles for music executives in higher education, it seems likely that this chapter will be the first to become hopelessly outdated. The reason, of course, is that the pace of development of new technological tools in general, as well as the evolution of those tools that are applicable to music settings, has been, is, and is likely to remain high. Little else in our management field seems likely to change nearly as rapidly. And indeed, any serious forecasting about the uses of technologies more than five years or so into the future seems ultimately to be proved naive. Thus, this chapter will focus on relevant principles as opposed to techniques or tools of technological applications, with the hope that they will prove useful far longer, through several successive generations of new techniques and/or applications.

Technologies based upon microprocessors—computers—have revolutionized almost every aspect of contemporary society, including much of what colleges and universities routinely do to manage their affairs and to be of good service to their students. Some of these developments have profound implications for the managers of the music units at these schools. The competent higher education music executive must at least be aware of how these devices are being deployed at his or her school, the management implications relating to their use, and the opportunities for enhancement in instruction or the provision of service that are available or are likely to become available in the near future.

General discussions of the rate of computing evolution over these last decades often include references to “Moore’s Law,” drawn from an oft-cited article in the April 1965 issue of *Electronics* magazine by Gordon Moore, one of the founders of the microchip manufacturer Intel. In this article, Moore speculated that the cost of computing would decline by roughly half and that the speed of computing would double approximately every 18 months for the foreseeable future. That extraordinary projection has proved remarkably accurate for more than 40 years, and we have witnessed enormous increases in computing power as well as steep declines in computing cost, together bringing nearly unimagined computing applications to almost every aspect of human activity, including university education. Many have wondered how long Moore’s Law would continue to be descriptive of advances in computing. Moore answered in April 2005 with an admonition that the computing field was approaching an absolute limit of sorts, at least as it is now being realized, as transistor miniaturization approaches atomic levels. His projections, he contended, would not hold forever. Still, he maintained, development will continue exponentially as he had forecast for at least another ten or twenty years. We’ll be able to do more, faster, and cheaper as the years go by.

Technological Applications in Higher Education

Music executives in higher education have an array of computer applications at their disposal, and others will no doubt appear in the months and years ahead. They support activities in areas such as instruction and instructional support; communications, including promotions and marketing; the storage and retrieval of information; budgeting; and research.

Computers have generally been connected one to another through cables and telephone lines. We have already moved into an age when all but the most sensitive sites can be connected wirelessly. Rooms, buildings, and now entire municipalities have been provisioned so that computer users with wireless interface equipment installed in their laptops can connect through the Internet to virtually any site. Only in very sensitive applications does it make sense to invest heavily in cable connections.

Instruction

At the very core of our instruction in higher education is a commitment to fostering student development through teaching. That topic, it seems, should be central in this discussion as well. Higher education as a field already employs computer technologies in support of a wide array of student development, but these applications are best understood by the type of instruction or instructional support they promise.

Wisely programmed, personal computers have long been shown to be capable of managing certain types of instruction and in those applications to essentially function in lieu of a live teacher. That has been the case for 25 years now. In these applications, the computer's greatest capability may be its consistency. Unlike live teachers, it never misspeaks, never makes an error of sequence, never becomes disappointed or bored or agitated, and is always immediately available to the student. When computers guide instruction, the classroom teacher is often freed to help in ways that the computer (at least as yet) cannot—diagnosing and treating emotional issues, creating new ways of presenting or explaining a concept to a “special needs” student, and working to keep students on task.

Typically these programs lead the student through the acquisition of a sequential series of skills, facts, or conceptual understandings, each building upon the last. The more sophisticated of these programs evaluate the student's progress through the material and control the student's pace through each component part, providing the student with remediation and/or additional relevant exercises if the skill or understanding has not been firmly established, and moving directly on the next component if it has. Most report the student's performance or progress back to the student and to the teacher/supervisor. Music units already widely use such programs in support of such skill sets as aural skills, rhythmic dictation, and note reading. Most often, it seems, activities such as these, in which the computer is guiding the instruction, are described as *computer-managed* instruction. In them, the computer is *central* to the instructional process.

In the field of composition education, an exciting pedagogical revolution seems to be under way. It long was the case that music students could develop their knowledge and understanding of musical systems—and indeed could *experience* music—by only two avenues: listening and performing. Indeed, those two avenues have represented the entire set of alternatives for becoming musically literate. Composition was something pursued by those with an interest who had developed at least a fairly sophisticated music understanding through one or both of these other activities. Computers and a few well-crafted programs now enable even completely untrained music students to construct musical compositions

and to come to learn about music in the process. The computers can record any sound generated by the student, replicate it, alter it according to the student's directions—transpose it, change the timbre, enable other sounds to be layered on top of it—and play it all back at any time, while allowing the student to adjust it according to his or her own sensibility. Thanks to computer-based technology, composition has finally become a realistic avenue for *learning* about music.

More recently, teachers, and especially college professors, have realized that computer-based activities can enrich and extend what takes place in an otherwise traditional instructional setting (i.e., a classroom), with an array of available computer programs designed to supplement traditional instruction. These programs enable the teacher to post information important to the class, facilitate out-of-class communication between the students and the teacher and among the students, provide ready access to reading assignments and other resources, enable easy electronic submission of assignments, and much, much more. In music settings, the availability of digital audio playback allows each member of an orchestra to listen to a specific performance of a piece they are preparing before the next rehearsal. We might refer to such computer-supported augmentation of traditional instruction as *computer-assisted* instruction.

It is also possible, in certain fields, at least, for the entire course in a college or university curriculum to be delivered remotely by computer over the Internet, though the efficacy of such instruction has not yet been demonstrated to everyone's satisfaction. The term used to describe such educational activities is *distance education*, and it has become a regular part of the "pedagogical playbook" at a great many colleges and universities. Distance education's advantages are substantial. When studying in this manner, students are no longer limited by geography. They may participate in the instruction from wherever they happen to be, so long as they have access to the Internet.

Most distance education projects are *asynchronous*. That is to say, students may do their learning at any convenient time within a given period and not necessarily at the same time as their classmates, the way a traditional course might be scheduled. In asynchronous settings, students are not limited by time. This means that students who have been hospitalized, or who are employed during their period of study, or even those who might be serving in the military or as missionaries in an underdeveloped country can still take classes and pursue their educational goals. Data collected relating to distance education indicate that even students living on campus (and so proximate to classroom buildings) may prefer to have at least some of their instruction delivered by this technology.

Not all subjects seem equally amenable to distance education. Those with discrete and readily expressed conceptual underpinnings, such as accounting and computer science, seem most workable in distance education applications. Those that depend heavily on class discussions and/or collaborative work, such as literature and acting, do not. In the field of music, music history, music theory, and perhaps aural skills could conceivably be taught well at a distance. It's difficult to imagine, on the other hand, that ensembles or even applied instruction can be realized with high standards through distance education. At this writing, though, Boston University is offering a complete and pioneering graduate degree program in music education exclusively through distance education—a pioneering initiative—and NASM (National Association of Schools of Music) continues to accredit the program.

Though the extent of distant education in the future is a matter for bold speculation, many of the colleges and universities who have experimented with it in the hope of achieving a per-student cost reduction have become at least somewhat jaded. Many, it seems, have discovered that teaching courses through distance education is generally far more time-

consuming than teaching in traditional classroom settings. Distance education seems generally not to promise significant cost reduction on a per-student basis. Many have discovered that distance education is, on the whole, *more* expensive than traditional classroom-based instruction, though these quick calculations often overlook the cost of building and maintaining classrooms.

Speculation on the future of computer-managed, computer-assisted, and distance education in colleges and universities, and especially in their music units, suggests that each type will continue and that their applications will be refined and lead to greater student development far into the future.

One possible new application of computer-managed or assisted instruction seems potentially so powerful in helping our music students reach some of their goals as musicians that it deserves special mention. Just as commercial airline pilots routinely now complete the majority of their flight training in simulators, so too may musicians use simulators soon to foster their own growth. Instead of stepping into an acoustically severe and aesthetically barren practice room to work on, say, the principal clarinet excerpts from the Brahms First Symphony, our students may soon be able to step into a simulator and take the principal clarinet chair in the virtual Chicago Symphony Orchestra while Pierre Boulez conducts them in a *performance* of the Brahms First. The simulator would generate high-fidelity audio and visual information, evaluate the performance, and allow the student to return to any part of the piece as often as he or she would wish for further experience. Alternatively, the student could sing tenor with the King's Singers on an English madrigal, play viola with the Emerson Quartet on Beethoven's opus 131, conduct the St. Paul Chamber Orchestra in the Mozart Requiem, or lead an elementary school orchestra rehearsal. The possibilities for authentic and vital musical/educational experiences will be nearly endless, and those experiences seem likely to far transcend what we can now provide. That's a part of the future that the music executive will need to be prepared to face.

Communications

Communicating information internally with our students, our faculty and staff, and our central administration has been an important activity for music units since the days of carbon paper, mimeograph machines, and early photocopiers—earlier incarnations of technological advancement. Communicating externally with prospective students, the parents of current students, alumni, donors and donor prospects, and those we'd like to invite to our concerts has similarly been important since well before computing became widespread on campus. Microprocessor-based technologies have profoundly influenced our ability to share information with these various internal and external constituencies less expensively, more easily, and with higher quality productions than ever before.

Twenty years or more ago, businesses began to imagine using technology in pursuit of what was then described as "a paperless office." Colleges and universities weren't far behind them in contemplating paperless school offices and classes. What was imagined then is being widely realized today. E-mail and the electronic exchange of documents—created and viewed on computer screens—have, in many places, allowed all necessary work to proceed without paper documents. Virtually all of the communications that music units have long sustained can now be accomplished quickly, cheaply, and in a well-polished form via electronic means. We now use e-mail regularly to distribute electronic memos to our faculty and staff, advise students of new opportunities or changes in the schedule, invite our regular audience members to attend special events, report expenditures and plans to our central

administrators, communicate with prospective students, respond to parental concerns, and share ideas with and respond to questions from the students we teach. We similarly use Web sites as repositories of information about our programs, our applications processes, our concerts, our policies, our faculty, and more.

We use computers to create and edit special electronic promotions, and generate the materials that we will use to print marketing and promotional pieces, and quickly update those pieces that are no longer current. Updating class schedules, course catalogues, syllabuses, and so on has become a quick operation—saving many hours over the time when these documents had to be generated anew each time and the typewriter and a bottle of correcting fluid represented our most advanced technologies. It's hard now to fathom the number of hours computer-based technology has saved music units simply in communications.

Not long ago, the printed catalogue and the handwritten or typed application—delivered to the college or university admissions office by the U.S. Postal Service—were the primary mechanisms of communication with and by prospective students. Sometime within the last ten years, the primary vehicle for engaging prospective student interest has become the college's or university's Web site, the primary mechanism for responding to student questions has become e-mail, and the majority of applications now arrive electronically. The ease with which a prospective student can submit an application now seems to have contributed to a dramatic increase in the number of schools to which most students apply. Where in an earlier time, a student might apply to no more than four or five schools, now they seem very likely to apply to ten or twelve. Some of the time saved in admissions offices by the ease of communication that technology has brought must now be devoted to responding to a significantly increased numbers of applicants.

The specific tools of communication we use continue to evolve. Voice-over-Internet service, for example, is reliable and far less expensive than telephone service and promises to become the dominant mechanism for distant conversations. Further, though e-mail was “cutting edge” among college and university students just fifteen years ago, students now rely much more heavily on text messaging through their cell phones while e-mail messages may go unread for many days.

Storing and Accessing Information

Computers, and the electronic files they create and to which they can provide access, have revolutionized one enormously important responsibility of every college and university—the need to carefully manage and protect data. These data range from applications to academic records, alumni donations to personnel files, financial records to inventories, and curricula to contact information of all constituencies. Thanks to computer-based technologies, these data are cheaply and compactly stored, easily backed up, protected, and almost immediately accessible even from very distant sites.

With the ease of storage and access comes a magnified responsibility to protect the data from theft or corruption. Data security and controlled access are important concerns and require additional programs that must be upgraded regularly to protect against new threats.

One fairly recent development in database management, integrated architecture, seems likely to become the widespread standard for both businesses and schools. In these systems, data from otherwise discrete databases are allowed to migrate into other regions without new data entry activity. In colleges and universities, for example, a prospective student may complete an application for admission containing a great deal of information; these data are

enhanced with new data—test scores and an evaluation of the application essay—and a decision to offer admission may be made. If the student accepts the admission, he or she becomes a matriculated student, and his or her data moves to another data set—current students—and the “file” begins to accumulate data regarding registrations, grades, and application for and admission to a specialization. Ultimately, we hope, the student graduates, and those data are migrated to the alumni data set.

Under older systems, the same base data, including name, birth date, address, social security number, and the like, would have to be entered anew at each transition—from applicant to student and from student to alumnus. With an integrated architecture, those data are entered only once. The power and the promise of an integrated architecture is time saved in data entry and the ability to make inquiries across otherwise discrete data sets—to determine, for example, the ways in which our current students are and are not like our former students.

Budgeting and Financial Reporting

The critical aspects of both budgeting and financial reporting lie in the judgment of the financial managers and ultimately in the decisions they make. This is, in a sense, a special case area of the storage and retrieval of information discussed above. Current, accurate, and easily accessible financial information is a necessity for any financial managers who aspire to informed judgments. With this particular type of data, computer-based systems of storage and retrieval that provide immediate and automatic updating of account information are highly valued.

Research and the Internet

Information on almost any topic is easily available through the Internet. Some journals have begun publishing in electronic format as well as in print, and others are available *only* electronically. Further, initiatives continue that promise to make every important book available electronically as well. These dramatic and recent developments have profoundly affected three areas of long-standing concern to college and universities: scholarship, respect for intellectual property, and libraries. No doubt further changes will be a part of future technological development.

Scholarship is a bedrock activity for faculty and a focus of a great deal of student work as well. Indeed, it has long been the case that learning to value scholarship and pursue scholarly inquiry according to the conventions of the academy is a fundamental outcome of higher education. A significant part of this learning has focused on assessing the validity of each source encountered in any scholarly inquiry, and students learned to trust the content of refereed journals and books published by highly reputable firms. The Internet, though, has allowed almost anyone to publish, without referee or editor if they wish, resulting in a vast sea of readily available information of grossly variable credibility. The academics, and especially the students, have not yet learned to parse this information as to its credibility, and student scholarship could be in decline as a result.

A somewhat related issue and another core academic value is an absolute abhorrence of plagiarism. So much information is available so readily through the Internet, though, and so much of it unfamiliar, that students and even faculty members have too often copied large amounts of Internet text into their own “scholarly” work without attribution and submitted it as though it were their own. Clearly this academic value is no longer consistently

established in the academy. However, computer programs already exist that make ferreting out plagiarism much easier than ever before. One may now submit suspect portions of a paper, or even the entire work, and rapidly learn if it came from an extant source and, if it did, precisely from which source it was drawn.

College and university libraries may be changing as well. The Internet and the electronic publishing phenomenon give students and faculty far less reason to visit the school library than before; now almost every source they might wish to consult can be accessed at any time of the day or night from their apartment, dorm room, or the coffee shop across the street. Libraries have fewer live “customers” and diminishing need to acquire and sustain large print collections, as well as no need to replace lost, stolen, or damaged materials. If this trend should continue to its logical conclusion, research libraries may someday exist in virtual space only.

Some holders of large digital audio file collections, and specifically a couple of recording companies, have developed subscription services that allow subscriber institutions to access and download any of their digital files. Schools employing this service can now bring any of tens of thousands of high-quality recordings into the classroom for study and analysis instantly, without handling a CD or tape. Professors can respond immediately to opportunities to teach a specific point by bringing the recording to life in the classroom. The digitization of audio has made the unlicensed copying of audio materials easy and cheap. It falls to everyone in the profession to resist the temptation to employ pirated audio files in any way; we must respect the rights of the performers and composers.

A consortium of more than 200 universities, 45 corporations, 70 government agencies, and more than 50 international partners has since sustained a very high speed Internet called Internet2, created in 1996 and with transfer rates several times faster than the Internet allows. Some of these schools and research centers have begun development of an even faster network which they call Internet3. Schools of music connected with those universities may be able to take advantage of those elevated transfer rates to “broadcast” high-quality live music at a distance.

Computing Costs

Though we have realized an increase in computational speed and the reduction in cost that Gerald Moore predicted in 1965, the cost of computing is not zero. Many of us have learned the hard way that projects with technological components must include some sort of budget for support. The Web site that we developed in 1995 was pioneering then and served our needs well, but the information it contained regarding faculty, curriculum, schedule, and especially policies quickly became outdated. In retrospect, we were foolish not to build into our base budgets the cost of maintaining and updating the site, just as we do for maintaining and tuning our pianos. Similarly, the new computers we purchased when we first created a computer lab for our students would not be serviceable forever. We needed to build into our budget and our expectations the need to periodically upgrade the lab with new and more powerful machines. The wise music executive should increase budgets realistically to maintain technological applications.

What remains undeniable is that computer-based technologies will continue to make our work in college and university music units easier, faster, and more powerful. Likewise, the technologies we employ today will inevitably be replaced by faster, less expensive, and more capable tools in the future.

Chapter XIII

Fund-raising in the Music Unit

*William Hipp, Dean
Frost School of Music, University of Miami*

Introduction

It's all about resources.

The larger the music unit, the more likely that the music executive will be expected to invest considerable time and effort in fund-raising activities, although practically no one is exempt from the need or pressure to generate resources beyond those allocated via the normal institutional budgeting process. It is the nature of the beast, whether housed in a private or public college or university, that extramural funding is genuinely needed and pursued in support of essential areas such as scholarships, instruments and equipment, facilities remodeling or construction, endowments of various sorts, faculty professional development, visiting artists and lecturers, and an almost limitless array of further purposes.

Within the academic setting, music units tend to be either free-standing, typically reporting directly to an executive vice president or provost, or part of a school or college, in which case the music administrator reports to a dean. In either context, it is incumbent on the music executive to effectively communicate the mission, goals, and needs of his or her school or department up through the chain of administrative authority in a manner that makes a strong case for seeking external funds. Without the support of the dean or provost, and in many cases the president/chancellor, the music executive's ability to engage in development activities to any significant extent becomes less likely.

In this chapter the terms "advancement" and "development" are synonymous with the term "fund-raising." The fund-raising structure within most institutions tends to be centralized and to have associated with it certain controls, restrictions, lines of reporting, coordinating functions, and the like that typically place limitations on the degree to which a music executive has freedom of movement in this realm. There are good reasons for this, the main one being that institutions usually do not want several departments or schools simultaneously pursuing, and therefore possibly irritating, the same donor prospects. Some institutions, especially publicly supported ones, have independent foundations that serve a key role in the advancement function, both as a repository for gifts and for managing the investment of endowment funds. Whatever the organizational structure of the institutional advancement operation might be, it behooves the music executive to be well versed in its procedures and to work within them.

At one end of the spectrum, some institutions do not want the music executive to be at all involved in fund-raising, while at the other end the expectation of his or her considerable active engagement is clearly understood. The latter approach is becoming much more the norm in today's academic institutions. This chapter will assist those whose institutions allow or encourage music executives to play a role in coordinated advancement efforts.

Advantage and Opportunity

Music units have an advantage in the fund-raising arena because of their visibility, particularly in the form of concerts and community service activities, and because they often serve as a public “window” to the institution. This mere fact alone represents the opportunity to expose potential donors to the quality of music faculty and students, programmatic strengths, and contributions to the life of the institution and the region served.

In any fund-raising effort the music executive in particular must be able to articulate in layman’s terms an exciting and compelling vision or mission about the unit’s aspirations for the future. Obviously, the typical donor is far more likely to support quality over mediocrity and a well-articulated achievable plan over less credible “pie in the sky” unrealistic goals.

An effective fund-raiser is always armed with an exhaustive list of giving opportunities to present to potential donors who exhibit either a general or a specific interest. Although one might not want to share the entire list with a given prospect, constructing such a list allows the music executive to be prepared to respond at a moment’s notice with an array of possibilities ranging from modest to highly ambitious.

Whether working with one donor or many donors, it is important to have appropriate individualized strategies. The process of donor identification, cultivation, and solicitation works best when approached in a well-planned and systematic manner.

Organizing the Effort

In the normal sequence of events, *donor identification* is step one. In most instances the community includes individuals who have been exposed to the unit’s faculty and/or students in a performance context and who, if their experience was a positive one, are ripe for cultivation. Alumni are also a valuable source of assistance with both giving and getting contributions; their contacts can be very important in the process of building an increased base of potential donors. Members of the institution’s board of trustees are often good prospects because of their considerable knowledge of the institution, its strengths, and its needs.

The institution’s central advancement staff probably has the capability to assist in matching possible donors to the music unit in terms of their previously identified areas of interest, as well as researching and rating the prospective donor’s potential level of giving. While ratings are often somewhat inaccurate, they at least imply a level at which the prospective donor is capable of giving. A frequent mistake is asking for too little, not too much.

Cultivation, step two, requires a willingness to invest the time necessary to bring prospective donors increasingly closer and to deepen their commitment to assisting the music unit financially in achieving its aspirations. This bonding process can take weeks, months, or even years to reach ultimate fruition, but its role is essential to the effort. It can entail knowing the musical tastes of the potential donor, the extent to which he or she values the arts and why, and other motivational considerations. It again must be emphasized, however, that the individual must be gradually led to the point where they have developed a clear understanding of the institution’s vision for excellence and how it plans to progress toward achieving that vision. Patience and persistence will usually carry the day.

Every prospect should be invited to or receive all events and materials that put the unit’s best foot forward. Performances by faculty and students, special productions, guest artists’

performances and master classes, appearances by guest lecturers, receptions and celebrations, dinners, informative newsletters, and the like offer vehicles for such opportunities. This approach essentially translates into a strategic marketing plan to reach, engage, and embrace as many potential donors as possible on a regular basis.

The *solicitation* is, of course, the culminating act in the pursuit of raising funds. In the most ideal of circumstances, the donor has learned so much about the music unit, believes so deeply that it is on the right track, and has a thorough knowledge of its needs that he or she will make a contribution without being asked. Don't count on it. The music executive needs to be able to sense the timing of "the ask" and act accordingly. Recognizing this moment is purely a judgment call, since fund-raising is more an art than a science. In the final analysis, it is all about building positive relationships. Just as a private teacher often explores multiple ways to impart concepts to a student, so must the music executive find multiple ways to passionately convey to the potential donor in an individualized and convincing manner the unit's vision, goals, and objectives. The old adage "people give to people" is more often true than not, which has implications regarding the personality and style of the music executive in the cultivation and solicitation process. The initial rejection of a solicitation does not necessarily represent failure; one must hope for the best but realistically prepare for the possibility of rejection. Continued cultivation, perhaps with a new approach, may well lead to an eventual positive response. One should remember that donors give when they are ready, not when the music executive wishes.

Current trends seem to indicate that increasing numbers of donors want a "hands-on" approach with regard to the disposition of their gifts, well beyond simply designating them to a particular use. One example is the donor who exhibits an interest in establishing a scholarship endowment but wants to be directly involved in the audition/selection of the recipients. Micromanagement by donors may not be in the best interests of the unit, and so the conditions of a gift need to be clearly understood and agreed upon up front. In extreme cases, a donor may offer a gift that is contingent upon the music unit taking a new direction that contradicts its goals and objectives. Caution is strongly advised in such situations, since the integrity of mission, goals, and objectives could be compromised. The ability to politely decline a gift, however difficult it may be, is an important attribute.

Sources of Giving

Sources of giving are almost limitless and, beyond even the most well-planned and organized strategy, can sometimes be totally unpredictable. Individual/private philanthropy is by far the most significant source of major giving in American higher education and therefore should be the major focus of any important development effort. Although there are always exceptions, corporations tend to contribute via their marketing budgets for special high-profile projects rather than capital campaigns. Foundations tend to focus on well-defined specific purposes that may or may not match the music unit's sphere of activity and objectives. Local and state funding for the arts typically offers support for projects that are oriented to presenters or individual artists, which can be useful in presenting concert series and perhaps subsidizing touring by faculty.

Categories of Philanthropy

The music executive must be aware of the array of ways in which a donor can contribute. The following list is not intended to be exhaustive.

- **Restricted gifts** are earmarked for a specific purpose, such as facilities construction or renovation, scholarships, specific programmatic support, an endowed chair, and so on.
- **Unrestricted gifts** allow the unit to use the gift for whatever purposes it deems most strategically important and are therefore highly sought after.
- **Capital gifts** generally relate to facilities and major instrument/equipment acquisitions.
- **Estate gifts/bequests** usually consist of either designation in a will or an irrevocable instrument such as a trust or annuity. It is best not to count on wills, since they can be changed at any time. Irrevocable instruments usually cannot be changed. Most institutions have individuals in their central advancement office who have the expertise to assist donors with various estate planning options and the tax benefits associated with them.
- **Planned giving** also may involve various types of annuities and trusts but, in addition, includes pledged gifts for which the payout may span multiple years.
- **Annual giving** focuses on a broad donor base that usually includes individuals who have the potential for making major gifts. Repeat donors to an annual fund are prime cultivation targets for increased levels of giving. Establishing named categories of cumulative donor levels of giving will provide important recognition and incentives for increased participation (e.g., Platinum Circle - \$1 million; Gold Circle - \$500,000; and so on). Annual giving can be enhanced by the formation of “friends of music” and alumni organizations, out of which some individuals will grow their interest and support.
- Gifts of **appreciated stock and real estate** offer donors special opportunities in the form of tax incentives, which can be explored with the help of expertise normally available in an institution’s central advancement office.

With all of the above categories except annual giving, it is strongly advisable to obtain formalized gift agreements, which can be developed by the central advancement office or the donor’s attorney or accountant. Such agreements stipulate the amount of the gift, any restrictions or conditions that may apply, and, if the gift is in the form of a pledge, the amount and frequency of payments. If appropriate, the agreement should include a copy of the section of the will or document that designates the gift.

Stewardship

Thoughtful stewardship of the donor after the gift has been made can lead in a very natural way to additional and possibly more substantial gifts in the future. Keeping the donor apprised of the unit’s progress and the meaningful contribution that his or her gift has made toward that end should serve to strengthen the relationship even further. Such communication can be accomplished by both formal and informal means but should be carried out on a regular basis. Donors who develop a sense of pride, involvement, and ownership will often encourage others to follow their lead.

Chapter XIV

Special Issues in Smaller Music Units

*Jo Ann Domb, Professor and Chairperson Emerita
Department of Music, University of Indianapolis*

Introduction

The National Association of Schools of Music (NASM) identifies a “small unit” in its data collection as a unit with fewer than fifty music majors. NASM also states in its size and scope standards that twenty-five music majors is the minimum viable number for a music department. Every small unit is distinctive to a particular place and with particular people (faculty, staff, students, and administration). It operates within its own unique college and community culture. Over years of numerous accreditation visits, one observes not only the uniqueness of each smaller unit but also the common strengths of small units, as well as how they have developed potential solutions to common areas of concern. Some would ask, is it possible for a music department to be small and excellent, too? Without a doubt! It is hoped that the following discussion will help focus on the means for achieving this goal.

Another definition of a small unit is one that has no more than ten full-time faculty, including the administrator. Those with four or fewer are usually only programs, and probably their mission is to provide music offerings for the general student. With a small number of faculty it is quite important that they have a professionalism that brings them to agreement on a shared mission and goals. The music executive must be a consensus builder who understands the dynamics and adopts an approach appropriate to ensuring that all members of the faculty work as a team. However, he or she must still provide the leadership needed to set priorities and consider innovation as needed.

This chapter will consider common strengths of small music units, approaches to the primary concerns of smaller units in maintaining educational and financial viability, and some specific suggestions on issues faced by all music units.

Strengths of a Small Department

A Special Faculty Group

The full-time faculty of small departments typically are particularly dedicated to their students. Having fewer music majors leads to a greater nurturing of individuals in the development of their talent and aspirations, and usually results in higher retention of students. Full-time faculty members generally teach in more than one area (e.g., history and theory, ensemble and private lessons, conducting and music education). This practical scenario is critical in the small unit and can provide a model for students of the complementary knowledge and skills requisite for a well-rounded musician. When available, the department often employs well-qualified adjunct faculty members to expand on the specialties of the full-time faculty. Typically, faculties in small departments heartily support the mission of their institution, resulting in high morale and cooperation in facing difficulties

that may arise. Music departments are often considered important to the overall mission of the small institution. Good communication and cooperation between the music executive and the institution's administration can often produce a win-win situation for the college's public relations and outreach, while helping to make available the resources needed to operate a successful music program.

Community Engagement

Small music departments can be a significant resource for their local community. Music faculty members serve as conductors, performers, arts organization leaders, speakers, and so on. This connection with the community can provide service and/or experiential learning opportunities for students, an audience for campus concerts, participants in joint campus/community ensembles, extra financial support for special programs, and partnerships with public school music teachers for events such as festivals. Many small departments have preparatory programs that provide an important service for the music training/education of children and adults as a community outreach. These offerings can include many services from private and group piano lessons for children to voice or instrumental lessons for high school students and adults, or a special lecture series coordinated with a local music concert series. Preparatory divisions or departments are gaining significance not only for the training of future musicians but also in the development of a general population of supporters of art music, which complements the importance of educating the non-music major in colleges.

When the campus has a radio station, faculty may reach a larger constituency in the community by producing and hosting a radio program in their particular area of expertise—"Music Education Matters," "How Jazz Works," "Keyboard Kaleidoscope," and so on. A professional in-residence ensemble can give students other opportunities to hear excellent musical performances. It is particularly important that smaller units cooperate with other nearby college or university music programs by working out an arrangement for students on each campus to be able to hear presentations by faculty and guest artists. Non-auditioned ensembles for the campus/community may open the door for developing more select, smaller ensembles with greater potential for excellence. An effective program for community engagement can be to have students "preview" a required solo or ensemble performance by taking it to a local retirement home, a church, or a social club and prepare program notes about the music to be presented. Regardless of a music program's size, our quest for excellence in our music making must always be paramount.

Educational Viability

Curricula

Humans have the tendency to want to be "all things to all people." Sometimes in its eagerness to serve a variety of students, the small unit attempts to offer more programs than are feasible for the resources that are available to deliver them. For a unit to be viable, required classes for a degree must be offered regularly with a reasonable number of students enrolled. Some classes, particularly at the upper division, may appropriately be offered only in alternate years in order to increase the class size. If only a few students are enrolled in a particular degree plan, it may be impossible to regularly offer upper-division courses with an

appropriate number of students. Thus, it could require that the music executive and faculty revisit the mission of the unit and consider if the degree offering should be eliminated.

Small departments frequently have success offering the Bachelor of Arts in Music as the only degree. When there is faculty expertise and student interest in a particular area, the necessary courses can be offered as a concentration within the BA degree. When schools determine that both the BA in Music and the Bachelor of Music in Music Education (a professional degree with 50 percent of the coursework in music/music education) are important to their mission, alternate-year course offerings often become critical. With the need for a continuing supply of music teachers, this is an important degree to consider offering when feasible. A more detailed discussion of degree standards and their implications is contained in Chapter VI.

Non-Majors

A diverse number of programs for non-majors can increase the number of people that encounter quality experiences with art music during college, but non-majors also can provide the means of broadening the scope of music course offerings. A course such as Music in World Cultures could potentially fulfill a general education core requirement, as could a music technology course or a jazz course in addition to the more usual music appreciation class. Music majors also need to be exposed to a wide variety of music literature, partially through classes such as these. Non-major participation can make possible the offering of a conducted or chamber ensemble when this would not be feasible with only music majors' enrollment. Opening ensembles to community participation can often help provide more complete instrumentation for an ensemble, particularly if scheduled in the evening.

Artistic and Scholarly Community

Faculty and students need to sense that the small department defines both an artistic and scholarly community. Not only must faculty be the best teachers and musicians that can be recruited, but they also must be capable of covering the core areas of the curriculum: music history, music theory, ensembles, piano, and private applied study areas as the need arises. Faculty members in the small department must be willing and qualified to share the teaching responsibility for non-majors in several areas. Full-time music faculty should not be expected to teach more than other college faculty due to the nature of music instruction. Departments should aim to keep within NASM's recommendation of a 3:2 ratio of clock hours to credit hours for figuring applied teaching load credit; expecting more than this will not support the best effort from a faculty member.

Maintaining, if not increasing, the critical mass of twenty-five music majors for a "community of scholars" may take considerable recruiting efforts. Recruitment (to be discussed later in this chapter) requires a good deal of faculty cooperation. Remember, however, that music minors, community musicians, and part-time faculty, in addition to the music majors and the full-time faculty, all contribute to the artistic and scholarly community.

Faculty should be models for students of artistic standards, particularly through their public performances. Collaborative efforts between full-time and part-time faculty in chamber music presentations can also serve this function. It can provide opportunities for faculty engagement with various types of music, which can be seen as important to faculty development, and bring adjunct faculty into closer contact with the department. Music executives should make sure that the institution's promotion and tenure committees

understand that music faculty's continual learning of new music for performance and teaching is an important application of "scholarship." Faculty conductors can share their experience with the greater community by offering seminars for area conductors using student ensembles as demonstration groups.

Faculty Development

Faculty development funds, which may not be guaranteed on an annual basis, are often quite difficult to allocate in small departments. It is critical that all faculty interact with others in their field beyond their department. A minimum allotment of funds for each faculty member would include national organization membership and annual state meeting participation. Faculty presentations at state and national conferences should be encouraged and are often funded by the provost's office.

Teaching/Learning/Assessing

Students enrolling in smaller institutions often need very clear instructions about how to get the most out of their practice time. A special session on how to practice as part of a freshman seminar or in a recital hour early in the semester, before students are ready to perform, can be quite helpful. Even assigning practice room time for all students can highlight the need for daily practice. Using written objectives for the semester and written evaluations in the studio can help the less experienced students see the necessary steps to becoming a total musician. Questions like "Are they integrating learned technique into their repertoire pieces?" Or "Are they integrating knowledge of musical style into their repertoire pieces?" in a mid-semester check-off evaluation can help the students reflect on their progress, as can an end-of-semester written narrative. Students' written reflections on their performances have helped them recognize what it takes to present their best performance. This approach can also address the problem of not having as many peer models as one would find in a larger music unit.

Financial Viability

Necessary Costs

It is a fact that music units cost more than other departments. A more extensive and varied equipment inventory is necessary for a music major program—pianos for teaching, practicing, and performing; stereo systems for listening to music; MIDI computers for learning about new technological applications to music; instruments for techniques classes and ensembles; and routine maintenance on all of these items. Specially designed spaces are required—practice rooms, rehearsal rooms, studios, performance spaces—and private instruction is of paramount importance in keeping with the uniqueness of the discipline. That being said, in any size music unit, but especially in a smaller unit, the institution's administration must be aware of all the costs entailed and ensure that the unit is being administered as efficiently and cost-effectively as possible.

Other Resources

It is particularly important for the smaller units' music executives to find funding from numerous sources. Basic costs are often not linked to student numbers; units might see little

difference between costs associated with having twenty-five majors as compared to seventy-five. Thus, one must take advantage of monies that may be available from budgets other than the music department's, such as library budgets for CDs, DVDs, periodicals, music scores, and listening equipment, or information technology budget for computers, music software, and so on. Also investigate the marketing budget for the cost of placing ads in periodicals or local newspapers. Government work-study funds for students are a great source for hiring students to work as assistants in the music office, choral or instrumental librarians, computer or piano lab monitors, performance hall ushers, stagehands, recording technicians, and so on. Scholarship money for non-music majors who perform in ensembles offers an excellent recruitment strategy for the university and certainly benefits the large ensemble program of the music department.

Writing grant proposals for special projects, summer music camp scholarships, and so on often becomes a way of life. Music executives are drawn more and more into fund-raising in departments of all sizes. Alumni and friends of the college can have strong allegiances to the institution and its program. They can be forthcoming with scholarship donations, and money can be raised at special events such as a gala opening concert, madrigal dinner, or cabaret night. Charging for faculty recitals, guest recitals, and some large ensemble concerts can also generate some funds. And finally, preparatory departments can be quite successful in generating additional revenue by finding uses for building spaces at times when music students or faculty do not typically need them. Group lessons can be considered for certain students in place of more expensive private teaching. Adult "students" in these programs can become strong supporters of the department.

Credit Hour Production

Since administrators at all institutions look at credit hour production as a critical part of the budget process, music executives can increase class size by rotating required music courses and creating classes that will be accepted for credit as a general education core requirement. These courses can generate high enrollments. They can recruit non-majors into dynamic, experiential courses such as electronic keyboard, guitar, and voice classes and, of course, various types of ensembles—African drum ensemble, handbell ensemble, choirs, non-auditioned campus band, and so on. Many departments will charge a private applied study fee to offset some of the cost of private instruction. Some units have tried having freshman music majors take a shorter private lesson coupled with a small group lesson weekly, in their effort to save instructional salaries. It is important to serve the non-majors by offering applied study, but many times they can be well served in class instruction unless a student is particularly advanced. Music majors taking secondary piano can also be well served in piano classes while learning extended skills possible on electronic keyboards.

Part-time Faculty

The use of part-time faculty can make up for curricular offerings not covered by full-time faculty at a much lower cost. This route has become a necessity in small departments where qualified adjuncts are available. A fee attached to private lessons can supplement the private instruction adjunct budget. Adjunct faculty should be recognized for what they do by paying them to sit for jury exams, perform with full-time faculty, teach masterclasses, solo with large ensembles, and judge or be a clinician for a recruitment event. All of these tasks add to their compensation while also getting them more involved in the unit's mission.

Equipment Maintenance

This topic is covered in Chapter XI as it applies to all units. However, in the smaller unit it is quite important that the music executive be an effective advocate with administrators, at all levels, regarding the special needs of a music program in regard to such items as regular piano tuning and other instrument maintenance. Student fees connected with instrument use can supplement the music repair budget. The music executive should have a long-range plan in place for the replacement of practice pianos and the repair and upgrading of pianos in studios, rehearsal rooms, and performance halls where needed. Smaller units can often take advantage of the fact that some companies will allow a two-budget-year lease/purchase plan for large expenditure items. If instruments cannot be purchased for an instrumental techniques class, they could be rented and even sometimes borrowed from a music store that will then sell them for a reduced cost or use them as part of their rental plans.

Recruitment

It will not come as a surprise that the number one concern in small departments is how to recruit more music majors. There is no magic formula to move from a very small department of fewer than 25 to a larger small department of 50 or more, but it can happen over time. General recruiting procedures for all music units are discussed in Chapter V.

Paramount in recruiting for a small music unit is determining and highlighting the assets of your school and department. As stated earlier, the special attention that each student typically receives should be apparent in all aspects of the recruiting process. This could include giving individualized attention via a letter or phone call, or during a special high school day for musicians, a summer camp, , or audition day events. Smaller units have an advantage in showing that their faculty cares about students as people and that this atmosphere permeates the campus. Recruitment in a smaller unit requires involvement by all music faculty members, who must have a commitment to this goal.

The small department can and should work closely with the institution's admission office. Let them know that the music department wants to supplement their all-school efforts by inviting a high school choral, instrumental, or jazz ensemble to join your college ensembles in a concert once a year, and take music ensembles to middle schools (perhaps a better place to start than high schools) or to rural and/or small high schools to perform. The department might start with a one-day festival during the school year to bring choral or instrumental ensembles to campus for a clinic with the music faculty. In all recruitment efforts, current students who display a positive attitude about their education at the school should be asked to talk informally with student visitors and their parents. This approach can often have very positive results. On audition days, make all attendees feel special. Have enough time to talk to the prospects and make them feel at ease. You want to find out if each student is likely to be a good fit and a good prospect for retention at your institution.

Of course, scholarships are very important to the institution and the music program. Recruiting students not only with scholarships for music majors but also with ensemble grants for non-majors is a very productive strategy. This extra funding attracts students who want to continue using their developed music skills though not as a music major. It is important to use the university's Web site to let students interested in the institution know what to expect as a music major and how they may continue to be involved with music as a general student.

Facilities

Not only do people need to work in appropriate environments, but instruments also must be kept in spaces with proper temperature and humidity control, even when classes are not in session, so as to give the greatest possible time of service. It is not wise to spend thousands of dollars on instruments and then not care for them properly. Music executives must be persistent in these matters with heads of buildings and grounds departments and administrative budget committees. This responsibility can be challenging for smaller institutions, but these entities must realize that facility needs for even the basic functions of a music department are quite different from most other college departments. Music facilities and their unique requirements are fully covered in Chapters IX and X.

Communication

As has been inferred throughout this chapter, effective communication within the music department (with faculty, students, and staff) and outside the music department (with administrators, high school teachers, and the community) is an essential responsibility of the music executive. One of the ways to communicate with students is through a music department handbook, which should contain all the policies of the department on such topics as applied lesson credits and requirements for semester juries, recital performances, recital attendance, piano proficiency, and primary instrument repertoire. It should also include degree plans, sophomore evaluation requirements, sophomore and/or senior portfolio requirements, practice room assignment policy, ensemble dress, and any number of other procedures specific to the department.

It should go without saying that the music executive must have close communication with the faculty, usually at regularly scheduled meetings. A faculty handbook can also be very useful, especially for adjunct applied faculty, to ensure all understand practice requirements, student evaluation policies, required recitals, and so on. Faculty and department administrators need to develop and carry out the goals and objectives together. All should be involved in such routine business as keeping track of student progress, approving recital proposals, discussing results of juries and sophomore evaluations, listening to auditions and determining scholarships, determining recruitment strategies and goals, scheduling concerts, gathering information for annual reports, developing Web pages and newsletters, and so forth.

Music executives should establish a policy for evaluating faculty teaching as part of their annual reviews, meeting with faculty individually as necessary, and attending concerts of faculty and students as time allows. In the smaller unit it is equally important to have a procedure for mentoring newer faculty, since often they will have assigned responsibilities with which they have had no previous experience.

Outside the music department, the music executive will find it more necessary than most department-level administrators to interact and communicate the needs of the department with a great many offices across campus. These could include the offices of admissions, development, marketing/PR, campus event scheduling, printing, information technology, student affairs, and grants. It is important that he or she also be looking for partners/collaborators outside the institution to provide opportunities for both faculty and students with such groups as professional musicians and music organizations, other arts organizations, and sponsors for scholarships programs or concerts. This communication

must of course also include public school teachers and private music teachers through such means as a Web site, personal contacts, letters, campus visits, and so on.

The Music Executive

Besides having responsibilities that are usually much greater than the average chair of a college department, the music executive of a small department will probably have significant teaching responsibilities. This situation can make it even more challenging to have the time to manage, much less lead, the department in creative ways. A full-time administrative assistant and student workers are essential to support the diverse operations of the music programs. Music executives in the small department often find that they need to develop procedures for sharing some of the administrative responsibilities with other faculty members.

Certainly higher education has many more small music departments than large ones. Thus, the small department is a very important resource for assuring a more secure place for the future of art music in this country. Small departments are a wonderful place to be. The music executive in these institutions has a significant professional responsibility that can provide considerable personal satisfaction.

Chapter XV

The Role of Community Music Programs in the Context of the Music Unit

*Michael Yaffe, Associate Dean
Yale School of Music*

Introduction

During my thirty years of involvement in music in higher education and community arts education, I have witnessed much discussion about and growth in the number of music schools that support the presence of a “divisional community music school” within the context of their organizations. In addition, CMS and NASM have devoted much conversation to the value of these “non-degree” components and how best to operate them.

The National Guild of Community Schools of the Arts defines community arts schools as “nonprofit, non-degree granting, community-based institutions offering open access to quality arts instruction by professional faculty.” As divisions of college music units, community music programs have many different names: community division, extension division, preparatory department, laboratory school, and the like. In addition, they tend to have two distinct but overlapping purposes: teacher training of undergraduate and graduate students and/or the training of community members in the various disciplines of music. While these two missions do not share every characteristic in common, most community music programs, to a greater or a lesser degree, resemble the higher education programs in music around the country. This short overview seeks to define carefully the role of these “divisional” community music schools and how they can succeed in the context of a collegiate music unit.

The Role of the Music Unit in Serving Its Community

Since the 1960s and even before, many universities have grappled with the issue of the role their institutions play in the surrounding community. In response to this concern, some have created public school collaborations, health services support, special training programs for professionals, and a variety of other efforts. In many cases, the music unit did not participate in the leadership of these discussions on campus. Many music units, focusing on the college-age population and their needs, have looked to public performances as the primary method for “serving” the community. As discussions about service in the community have evolved, many collegiate music units created programs to provide music instruction to members of the local community: a strong example of community service. As these programs have grown, some music units have developed full-service “community arts schools” that are professionally administered and feature experienced faculty members in the various disciplines. Other programs have developed to serve as training activities for undergraduate

and graduate students, while still others combine these two functions. Whatever the mission, many college-level music units include a community arts focus of some sort.

The Importance of an Appropriate Mission for a

Community Music School

It is hoped that the quality of the community program's mission will be as seriously considered as the mission of the college-level curriculum. My bias is toward a professional community music program with a "place at the table" in the administrative structure of the music unit. This approach comes from a desire to ensure the quality of instruction for the community music school students and a deeply held view that college music units have a responsibility to develop programs that improve the music instruction in their regions. In my work at the Hartt School of the University of Hartford, we created a community music school with high standards and proven results while complementing the work of the collegiate activities. The mission was equivalent to an independent community music school, and the quality of the programs and the faculty were second to none.

Having described my ideal, it is fair to say that other models can be successful, depending on the unit's needs, space, and curricular requirements. For example, it might be appropriate for a college music unit to create a training program for undergraduate or graduate students. In that case, however, the public must be made aware that the teachers are, in fact, students, and the unit must provide sufficient supervision by qualified faculty members.

The Educational Value for the College Student

In today's music environment, it is imperative that college students in music, even performance majors, be exposed to the value of teaching and working with youngsters. A community music program within the context of the college music unit is a great way of meeting this goal. However, as the college training takes place, the needs of the community music school student still should be seriously considered. If independent teaching is done by college students who do not have significant experience, parents must be made aware of it, fees must reflect this circumstance, and a careful process of supervision should be in place.

One model of college student training that I developed can work in a professional community music school. A one-credit course can be developed in which college students observe professional teachers working one on one with a student for most of a semester. This allows the college student to understand sequence in teaching. At the end of the semester, the roles can be reversed for a lesson in which the college student teaches the community student with the professional teacher observing. This approach ensures supervision and a serious approach to observation, while not allowing the young student to become a "guinea pig" for college student instruction.

What Kinds of Music Programs Can Be Offered?

There are numerous curricula for community music programs. A review of the National Guild Web site (www.nationalguild.org) gives a broad overview of the kinds of music programs offered by American community music schools. In general, it is recommended that

programs be offered only if they meet the quality standards for the music unit as a whole. Before programs are developed, a survey should be undertaken of what music programs already exist in the region. Since such a need for quality music education exists in our country, it seems important not to compete directly with other activities in the region. In addition, program offerings should be tied to the availability of qualified faculty to teach in the program. This often leads to programs in the community music school that parallel the strengths of the college music unit.

Will the Community Music Program Make Money

for the Music Unit?

Many astute music school administrators seek new ways to generate revenue, and such discussions often turn to community programs. The answer to the net revenue question is complicated and depends upon a careful analysis of costs. Obviously, if private lesson fees are greater than salaries, a net profit occurs. However, there are other costs to consider: administration, promotion, instrument maintenance, space costs, security, educational materials, and so on. A profit can still occur if the program is large enough to cover its costs with the differential between tuition and expenses. The problem with the discussion of profit is at least partially related to mission: quality education in music is expensive, and if the mission of the program is profit, will it reflect the quality standards for music at the institution as a whole?

In addition to strict earned income, one additional financial factor should be noted. The hallmark of most community music schools is open access, that is, providing instruction regardless of the student's ability to pay. This system requires having funds available for financial aid. Many foundations, corporations, and individuals are willing to fund pre-college students who are in need, even though they may not show the same interest in funding collegiate-level professional training in music. Therefore, many grant opportunities exist that can bring new funds.

How Is Space Allocated?

One of the complicating factors in developing community music schools within the context of colleges is the competition for space. One thing is for sure: a well-managed community music school with good teachers will grow, and the demand for instruction has the potential to overwhelm the underprepared institution. In general, the conflicts come in the areas of practice space for college students and teaching space for community programs. It is important to address this issue before the program grows too large. Limits can be placed but should be enforced with an understanding of teaching loads, salaries, and potential income for faculty from the school. Music school leaders are encouraged to address the issue with a plan and an agreement among college students, community faculty, and college faculty.

How Are Faculty Chosen and Classified?

Many levels of teachers have the ability to serve the community music program: college faculty, community-based teachers, graduate students, undergraduate students (with

supervision), and recent graduates of the college. In all cases, individuals should be hired to teach in the community programs based on their skills in working with students at the level of those represented in the community program. Just because college faculty members have success with advanced students does not necessarily mean they will be skilled teachers for beginners (and vice versa). College students need to be carefully interviewed and supervised in their teaching. By and large, the goal is to create a faculty that can be evaluated for quality on the same terms under which college teaching is evaluated. Many large divisional community music schools classify their faculty as university “staff” to distinguish them from tenure-track faculty, and some have even created full-time positions with benefits, the costs of which are covered through tuition.

What About Fund-raising?

In many discussions with community music school administrators and faculty at collegiate-based programs, the topic of fund-raising leads to words of frustration about the university development office and even the leadership of the college. From this admittedly anecdotal information, it appears that many divisional community music programs have restrictions on their ability to raise funds. This situation is unfortunate for two reasons: it limits the potential for a fully developed community music school, and it ignores the fact that many foundations and individuals who do not support college-level music will support community-based programs. Although circumstances at any given institution may vary, it is recommended that fund-raising be permitted for financial aid support and special programs at the very least. Since independent community music schools raise funds for about 40 percent of their total yearly income, it seems reasonable to assume that divisional schools will support themselves through nonearned income as well.

Who Benefits from the Presence of the Community Music Program on Campus?

I will never forget the excitement at Hartt when the Community Division was featured on the annual holiday card of the University of Hartford. That demonstration of support underscores the importance of a community music school to a college or university. The value to the music unit is varied and consequential: a community music program can provide employment for students or graduates, increase the college’s reputation in the local community, and generate net revenue if handled properly.

Where Does the Program Fit in the Administrative Structure of the Music Unit?

To some extent, the answer to this question depends on the mission of the community arts school and its size. However, a general principle is that the director of the community music school, whether faculty or staff, should have a voice and presence within the administration of the school. This person needs to have access to discussions about the school as a whole as well as the opportunity to make the case for the community music programs at the highest appropriate levels.

Conclusion

This chapter has suggested multiple good reasons for developing and maintaining a community music school within the context of a college music unit. Careful planning and good support will ensure its success.

Resources

For further information, contact:

National Guild of Community Schools of the Arts, www.nationalguild.org

National Association of Schools of Music, specifically the section on the Accrediting Commission for Community and Pre-Collegiate Schools (ACCPAS), www.arts-accredit.org