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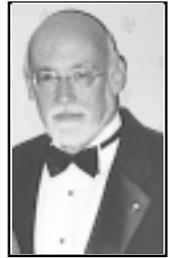
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From the President

A New Life (continued)



In the Winter issue of *The Torch*, I ended my column with a question, rephrased here ... Why should you attend annual IATC conventions?

Apart from the fact that you will be spending a few enjoyable days with colleagues from across the United States and Canada who value the intellectual experience of *Torch*, there is another important reason.

In order for *Torch* to remain healthy and grow, every member needs to participate in planning for the future of our organization. Our collective survival depends on decisions made not only at the local level, but also at the IATC convention. The IATC Board needs everyone's input. We need to hear

your ideas and concerns. We need you to identify and elect dynamic leaders (both at the local and international level) to carry *Torch* forward. We need to share ideas that work and to abandon those that fail to meet expectations. We need to do more than just talk; we need action to revitalize and expand the *Torch* experience.

Participation in an IATC convention may not change your life forever, as it did mine; but it might change the lives of future generations who will still have *Torch* to enrich their lives.

— Stephen T. Toy, IATC President

Note From the Editor

Manuscript Guidelines



In this, my third issue as *Torch* Editor, I want to respond to numerous requests for an outline of guidelines for authors preparing to update their *Torch* club presentation into a publishable manuscript. As a Yale undergraduate as well as in writing my doctoral dissertation at Emory, I received a great deal of advice about publishing, some of which I find nicely summarized in the little blue "Torch Paper" pamphlet from IATC, available from your club secretary. Here are points I urge *Torch* authors to consider:

- Take seriously the 3,000-word limit, equivalent to 30 minutes of presentation. Instead of asking me to pare down a manuscript, I would prefer you do the cutting yourself, since you know what you really want to say.
- Remember what you have been taught about concise writing. Avoid a series of simple sentences, choosing instead to embed the main clause within a larger sentence. Re-cast the ideas that are expressed in the adjacent but less-important main clauses into modifying clauses or phrases.

- Let the facts speak for themselves; don't call attention to yourself with "I think" or even "you will see for yourself." The writer/reader relationship is one of logical inquiry, not that of a cozy fireside chat.
- Help your reader track the sources of your assertions. It is not necessary to clutter a manuscript with footnotes within the text (except after a specific reference or quote), but a bibliography is essential, preceded by notes referring to any textual footnotes. Follow the formats specified in Kate L. Turabian, *A Manual for Writers...*, 7th ed. (Chicago: University of Chicago Press, 2007).
- Your submission must be accompanied by the Manuscript Submission Form, available from your club secretary. Include an email address, and be ready to transmit your paper as an MSWord document if requested.

— A. Reed Taylor, *Torch* Editor

A Collaboration of Eccentrics: The OSS in World War II

Despite its pivotal achievements in the Second World War, the Office of Strategic Services was founded and abolished in just four short years.

By Keir B. Sterling



About the Author

The author earned bachelor's, master's, and doctoral degrees in history at Columbia University in New York. From 1959 to 1983, he was a college administrator and professor of History, and then served for the next 25 years as a civilian historian with the U.S. Army. Now an independent historian, he's continuing with his research interests in American political history and the development of the natural sciences in the Americas.

This article is based on a paper he delivered to the Richmond, VA Torch Club on December 7, 2004.

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America's First Spy Agency

In recent decades Americans have taken for granted—and been fascinated by—our smooth-running overseas spying activities. In fact, the nation's first such program existed only during the four short years of our involvement in World War II. Six months before Pearl Harbor, President Franklin Roosevelt faced a threatening world picture. Germany had annexed Austria and occupied Poland. The Battle of Britain had already taken place. In Asia, Japan was attacking China. Knowing he needed better information, Roosevelt sent an old law school classmate on a fact-finding trip to Europe. On his return, his classmate convinced Roosevelt the U.S. needed an intelligence agency, and in July, 1941, Roosevelt named this friend and advisor, William J. Donovan, nicknamed "Wild Bill," as Coordinator

of Information (COI).¹ His task was huge, but the 57-year-old Donovan had faced plenty of challenges. With three major military decorations won in World War I, Donovan served in the 1920s as U.S. Attorney for Western New York and held positions at the U.S. Department of Justice. In 1932, after an unsuccessful run for Republican Governor of New York, he organized a successful law firm in Manhattan.²

With the charter of his new agency in hand, Donovan called on friends in and out of government for guidance in filling key roles. Research and Analysis (R&A), the heart of Donovan's organization, grew quickly with the assistance of Archibald MacLeish, a World War I veteran and Librarian of Congress, who met during the summer of 1941 with representatives of the American Council of Learned Societies, the Social Science Research Council, various government agencies, and leading academics to recruit a board of advisors. James Phinney Baxter, President of Williams College, was chosen to lead R&A, and he in turn signed up William Langer of Harvard to serve as its director of research. Both men were well versed in European and diplomatic history.³ They assembled a Board of Analysts—three historians, two economists, and a political scientist—to oversee the work of the R&A staff. This group, known to insiders as the "College of Cardinals," broke down Research and Analysis into a Division of Special Information, based in the Library of Congress, a group of Economic and Psychological Warfare units, and Central Information.⁴

During his first six months, Donovan concentrated on gathering and analyzing information, and also radio propaganda. Even before Pearl Harbor, he began initial planning for cloak-and-dagger operations. To his frustration, he often found himself sidetracked by other federal agencies in battles over jurisdiction. Nelson Rockefeller, FDR's Coordinator of Inter-American Affairs, informed Roosevelt that he would resign if Donovan did radio propaganda in Latin America. J. Edgar Hoover, of the FBI, wanted no part of Donovan or his intelligence activities. Army Intelligence urged Roosevelt to scrap COI, but the President liked what Donovan was doing and refused. FDR did, however, curtail Donovan's access to secret Japanese and German intelligence, code-named, respectively, "Magic" and "Ultra."⁵ Many in government objected to Donovan's working hand-in-glove with British and other Allied intelligence personnel, including his Canadian-born British colleague Sir William Stephenson, code-named "Intrepid." Stephenson, called "Little Bill" because of his small stature, was a World War I flying ace whom Winston Churchill had appointed to head the "British Security Coordination Office" in Manhattan. Beneath this façade, Stephenson's real task was to thwart German espionage in this country and to bring the U.S. into the war on Britain's side.⁶

Birth of the OSS

In June 1942, Donovan's fledgling agency officially became the Office of Strategic Services (OSS) to provide the newly formed Joint Chiefs of Staff with

intelligence information early in their decision-making. This move also gave Donovan and the OSS some protection from various outspoken critics in the military, but it came at a huge cost. FDR transferred Donovan's entire Foreign Information Section, with almost half of Donovan's carefully assembled personnel, to become the overseas branch of the newly created Office of War Information.

Most of the 21,642 OSS wartime operatives were civilians, but many wore uniforms as Army or Navy officers, or enlisted personnel and Marines. Assimilated rank in the armed services was used to protect OSS agents. If taken prisoner by the enemy, Geneva Convention provisions applying to captured officers would ensure better treatment.⁷ These agents performed a variety of research, espionage, psychological warfare, and special operations activities. A number of OSS agents, especially in R & A, held Ph.D.s, leading critics to scoff that what they produced would simply be "piled higher and deeper." Others questioned whether the so-called "Professor Farm" and the "Chairborne Division" could ever come up with information of value to the military. The OSS was saddled with such nicknames as "Oh, So Secret" or "Oh, So Special."⁸ Many OSS operatives were dispatched to London, on the doorstep of occupied Europe. Initially the more experienced, war-weary British Intelligence operatives were dubious about their new American counterparts. Malcolm Muggeridge, a British agent who earned his reputation as a journalist with a rapier wit, later wrote, "Ah, those first OSS arrivals in London. How well I remember them—arriving like young girls in flower straight from finishing school, all fresh and innocent, to start work in our frowsty old intelligence brothel."

Muggeridge was referring, wittily, to males, a significant majority among the agents, but actually, capable women

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abounded at the agency, some twenty percent.⁹ Most served as typists and librarians, but some were excellent field operatives. One was Lois Olson, who had studied at the University of Chicago and the London School of Economics, and served as the tough Assistant Chief of the R&A Geography Division in London in 1944. Czech-born law school graduate Barbara Lauwers, a multilingual Women's Army Corps private, later a captain, won the Bronze Star for arranging the surrender of 600 Czechs who had been forced to serve the Germans.¹⁰ Other well-known women included Julia McWilliams, who worked for a time on the development of a shark repellent for airmen downed at sea. A gifted operative, she later concocted totally different commodities in the kitchen as the famed TV chef Julia Child. Many remember that even when she dropped the roast or produced a soufflé that fell, Julia never panicked. Without doubt, her OSS background helped produce the resourceful character America loved on the small screen.¹¹

Aline Griffith, a college-educated fashion model from Pearl River, New York, was an undercover OSS operative in Spain, never far from danger. One evening, an enemy agent shadowing Griffith broke into her apartment and stealthily shot directly at the sleeping figure in her bed. By happenstance, another woman sleeping there that night died in Griffith's place. Sometime later,

while Griffith and a colleague were looking for a missing agent in his apartment, she struck a note or two on the grand piano, and when the keys failed to work properly, she lifted the sounding board. The missing agent's crumpled body lay in the strings of the instrument. Another hair-raising moment came when she learned the home office had come to the unavoidable conclusion that one of her associates was a double agent. The fact that they didn't know exactly who it was lifted the tension level exponentially. Only after the war was the man identified. After the war, she married a handsome Spanish noble and, as the acclaimed Countess Romanones, she published several accounts of her harrowing wartime experiences in such popular books as *The Spy Wore Red* and *The Spy Went Dancing*.¹²

Amy Thorpe Pack, a native of Minnesota, became known as the World War II "Mata Hari." She studied in Europe, where she developed fluency in French, and had two children by an ill-advised first marriage. Code-named Cynthia while serving in British Intelligence in the late 1930s, she "seduced a number of men in the line of duty." "Cynthia" did pivotal work in obtaining badly-needed enemy codes, spiriting them away from a safe in the Vichy French Embassy in Washington with the daring complicity of her French lover, Charles Brousse. Amy's—or "Cynthia's"—love story had a happy ending when she married the courageous Frenchman after the war.¹³ Another valuable female agent was Virginia Hall. Born into a socially prominent family in Baltimore, she had studied in the U.S. and Europe. She began working in the State Department in 1931, but her career was interrupted when she lost part of a leg in a hunting mishap. After rehabilitation, she found herself stranded in Paris when France fell in June 1940, and made her way to London, where she volunteered for English Special Operations, later transferring to OSS

Special Operations. Hall spent most of the war behind enemy lines. Nicknamed “the limping lady,” she helped to train and organize French Resistance units, joining the Resistance fighters in waging guerrilla warfare. Living and working alongside them, she facilitated parachute drops of allied commandos and needed supplies into German-held areas, and continually sent valuable information back to London. She was the only civilian woman to receive the American Distinguished Service Cross, and also was awarded membership in the Order of the British Empire.¹⁴

In 1944, the London office of OSS Morale Operations employed women in a new initiative. With the British Political Warfare Executive, OSS Officials launched a project dubbed “Musac.” A radio program titled *Soldatensender West* was beamed from England to Germany and occupied Europe. The program offered specially-written British newscasts, with American popular songs. The lyrics were cleverly and brightly translated into German. There was music by Rodgers and Hart, George Gershwin, Jerome Kern and Irving Berlin, orchestrated by German émigré composer Kurt Weill. Over 300 songs were beguilingly performed by Weill’s wife Lotte Lenya, Marlene Dietrich, Dietrich’s daughter Maria, and three singers from the Metropolitan Opera. Dietrich was the only one who knew about the OSS connection.¹⁵

Back in Washington, as OSS expanded, Donovan and his staff in Washington faced a continual problem of finding office space in the overcrowded wartime capital. One floor of an old National Institutes of Health (NIH) building had been taken up by laboratory monkeys used for medical research. When Dr. Langer’s OSS research staff took over the lab area, NIH had to place the monkeys elsewhere. German intelligence obtained this information, and Berlin radio began to make mocking comparisons between

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the monkeys and the OSS operatives. Meanwhile, to meet the growing need for special operations against enemy shipping in Europe, Donovan had Secret Intelligence and Special Operations men trained in basic seamanship and small boat handling. Then the curriculum moved into the destruction of ship docks and cargo handling facilities. In mid-1943, he transferred these activities to a special Maritime Unit that focused on the “infiltration of agents and operatives by sea, the waterborne [support] of resistance groups [and carrying out] maritime sabotage.” This Maritime Unit split into several new military units which remain famous today: the Operational Swimmers, Scouts and Raiders, Air Force Para-rescue Men, and finally, the Naval Combat Demolition Units, forerunners of today’s Navy SEALs. Several training facilities were set up in California, with advanced training at beaches in the Bahamas. Volunteers arrived from all uniformed services, including experienced lifeguards, champion swimmers and divers, and a few professional football players. One practice exercise involved infiltrating American defenses at Guantanamo, Cuba. Despite the daunting challenge, many resourceful trainees managed to succeed. MU units were sent worldwide—to the Pacific Theatre, Burma, and Europe.¹⁶

The OSS and European Allies

After Italy surrendered in September 1943, the OSS took over the San Marco Battalion, a group of Italian frogmen who earlier had damaged and destroyed British shipping in the Mediterranean by attaching explosives to ships’ hulls. After 1943, a number of joint OSS/San Marco operations proved highly successful in securing intelligence about German defenses in northern Italy, in disrupting German railway operations, and in aiding the escape of Allied POWs. Other OSS agents, Americans of Italian descent, helped prepare for the Allied amphibious landings south of Naples at Salerno in 1944, working closely with members of the Italian Resistance and keeping them supplied with necessities. Throughout the war, Donovan made inspired use of the children of European immigrants to America. Born in the U.S. and bilingual, they were familiar with the culture of the nations their parents had come from, and made excellent agents when inserted into their families’ native countries.¹⁷

Less than a year before Italy’s surrender, French-speaking OSS agents arranged a secret meeting in Morocco in late 1942 between U.S. General Mark Clark and the local Vichy French General, Charles Mast, to get the latter’s clearance to stage an amphibious Allied landing in Vichy-controlled colonies in northwest Africa, dubbed “Operation Torch.” Mast hesitated at first, distrusting any involvement of the British Navy, which had fired on French ships after France’s surrender to Germany. However, when the OSS agents conveyed Eisenhower’s assurance the landings would be a strictly American operation, the Vichy French High Commissioner for North Africa, Admiral Jean Francois Darlan, agreed not to contest the landings if Eisenhower provided assurances that he—Darlan—would be designated France’s post-liberation leader.¹⁸ Eisenhower got in trouble with his superiors for this huge

concession, but he granted Darlan's request and the OSS-brokered deal went forward. During the Allied landings on November 8, 1942, French forces, as promised, offered only token resistance. In a twist of fate, Darlan was assassinated on Christmas Eve, 1942—six weeks after the successful invasion—so the Allies were freed from their promise, clearing the way for General Charles de Gaulle to take charge of Free French forces and eventually become the first postwar president of the French Republic.¹⁹

Post-War Challenges for the OSS

Working conditions for OSS staff abroad were often far from ideal. One R&A Analyst, Dr. Henry S. Sterling, served in London and in France during the war. In a letter to his school-age son living in Washington D.C., he wrote, "The Germans were very hospitable. Half an hour after my arrival in London, they staged a V-1 raid in my honor." In fact, for seemingly endless months, all residents of the city had to live under the constant threat of terrifying V-1 and V-2 flying bomb attacks.²⁰ Wild jubilation erupted after the European fighting was over, but OSS operatives still had critical work to tackle in Europe. Some gathered evidence later used at the Nuremberg war crimes trials. Others helped in locating stolen works of art. Still others questioned former German intelligence officials about Hitler's wartime projects.²¹ In the immediate postwar months, it was of utmost importance to locate German scientists. OSS agents were dispatched to find researchers and engineers like Wernher von Braun, and send them to the U.S. to help with American civilian and military technical challenges. In this effort, American agents operated in direct competition with Soviet personnel, who were also keen to make use of German expertise for their own military programs. In several cases, American agents spirited German scientists out of POW camps

in the Russian Zone. Among the prizes sought by both sides were glider bombs, proximity fuses, and anti-aircraft radio-controlled rockets. Intelligence on the Soviets themselves was another objective. A key German officer who had led intelligence operations against the Soviets during the war was safely extracted along with his network of operatives and promptly began conducting the same spying efforts—but instead of reporting to Hitler's command, they were now sending their information to Allied authorities in Western Germany. Some of the former German agents were sent into Soviet-controlled territory, as new secret agents for the Americans.²²

By August 1945, when the war in Europe ended, those in the OSS could look back on pivotal achievements for the Allied effort. OSS personnel earned over 2,600 military or civilian decorations for their wartime work, and some continued in government intelligence after the war. Yet despite this record, the future of OSS remained in doubt. At FDR's request, "Wild Bill" Donovan made the case that America's need for a central intelligence agency would not end with the defeat of the Axis. Donovan—now a major general—argued the U.S. would urgently need to collect information and carry out "subversive functions abroad." In early April 1945, President Roosevelt instructed Donovan to try reaching consensus with the military and FBI about a postwar intelligence agency. Donovan began these difficult negotiations, but ten days later Roosevelt died. The proposal no longer had a powerful broker in the White House.²³ American military leaders greatly appreciated the work of the Office of Strategic Services, General Eisenhower declaring that the OSS's contribution had been so great that "there should be no thought of its elimination." Nevertheless, in September 1945, President Truman signed an executive order abolishing the

OSS. The Research and Analysis Branch, heart of the agency, was transferred to the State Department. There, it was renamed the Office of Research and Intelligence. All other elements were referred to the War Department for what was called "salvage and liquidation." This action put a sad ending to a fabulous undertaking.

Conclusion

Could the U.S. have won the war without the OSS? Probably, but it would have taken a lot longer than it did. OSS agents paved the way for the invasion of Sardinia, Corsica, and southern France. OSS teams in occupied Europe helped maintain and energize the French Resistance, as well as Italian partisans, and Tito's guerrilla forces. Other OSS teams and individuals provided priceless intelligence to the Joint Chiefs of Staff.²⁴ During the war, though a few failures were inevitable, most OSS operations succeeded. At any given time, several thousand OSS agents worked in the field. For each operative, three or four staff members occupied desks in Washington, London, Paris, and elsewhere. Those with office jobs were heroes in their own way, using creative intuition and working under tense, difficult wartime conditions. The most amazing part of the story is that in the end, everything the OSS accomplished was done at a very modest cost in human lives. The OSS lost just 143 men and women operatives overseas. Another 300 were either captured or wounded in action.²⁵ OSS founder William Donovan returned to civilian life, and spent the postwar years at his old law firm in New York. In the early 1950s, he served as Eisenhower's Ambassador to Thailand, at that time a key diplomatic post. His life ended in February 1959, at age 76. On hearing of Donovan's death, Eisenhower, now the U.S. President, remarked to a colleague, "What a man! We have lost the last hero."²⁶

Notes

1. Thomas Troy, *Wild Bill and Intrepid: Donovan, Stephenson, and the Origin of CIA* (New Haven: Yale University Press, 1996), 23-25, states that Navy Secretary Frank Knox lobbied FDR to appoint Donovan Secretary of War in 1940. Sources differ on Donovan's relationship with Roosevelt. Richard Dunlop, *Donovan, America's Master Spy* (Chicago: Rand McNally, 1982), 25, and Anthony Cave Brown, *Wild Bill Donovan: The Last Hero* (New York: Times Books, 1982), 20-21, argue that Donovan didn't know FDR personally, but knew about the man and his policies. G.J.A. O'Toole, *Honorable Treachery: A History of U.S. Intelligence, Espionage, and Covert Action from the American Revolution to the CIA* (New York: Atlantic Monthly Press, 1991), 357, said that FDR and Donovan had been friends for "more than twenty years." Bradley Smith, *The Shadow Warriors: OSS and the Origins of the CIA* (New York: Basic Books, 1983), 31-32, 427 (note 47), wrote of their "long association in New York and Washington politics," adding that their closeness was exaggerated. In a letter of December 29, 1939, FDR wrote that "Bill Donovan is...an old friend of mine—we were in the [Columbia] law school together." But in a private memorandum Donovan noted, "I always reminded people that Roosevelt never knew me in law school." There is "little evidence of any contact between the two prior to 1940" in the Roosevelt papers at Hyde Park, NY. Troy, *Wild Bill*, 25 and 215n.
2. Smith, 64-65, 70-72. Dean Acheson, President Truman's Secretary of State and no great fan of Donovan's, sarcastically remarked that "Donovan would have surprised no one if...he had left one morning and returned the previous afternoon." Tom Braden, "The Birth of the CIA," *American Heritage*, February 1977, 5. Another source attributes this comment to the OSS Assessment Staff. *Assessment of Men: Selection of Personnel for the Office of Strategic Services* (New York, Rinehart, 1948), cited in Dunlop, 363.
3. Donovan's many reports to FDR in the Roosevelt Library at Hyde Park, NY, number 7500 typewritten pages. Dunlop, 313. Donovan's organizational methods were like molasses being poured on a table—it "ooze[d] in all directions but eventually [Donovan made] it into some sort of pattern." Dunlop, 309, 319. See also Smith, 72, 74, and Winks, 66-68.
4. The College of Cardinals lost effectiveness because of Donovan's hands-on style of direction and changing priorities, as well as R&A's initial ineffective administrative staff. George Chalou, ed., *The Secrets War: The Office of Strategic Services in World War II*, Washington, National Archives and Records Administration, 1992, 28. See also Central Library of Congress Files, MacLeish-Evans, Box 748, Manuscript Division, Library of Congress; Smith, 73; O'Toole, 413-15; Kermit Roosevelt, ed., *War Reports of the OSS (Office of Strategic Services)* (New York, Walker and Co., 1976), 1:9, 11. Two months before Pearl Harbor, Guy Richards described Donovan's prewar COI activities in "New U.S. Bureau Created to Lead 'War of Words,'" *Washington Times-Herald*, September 20, 1941.
5. Smith, 64-65, 70-72.
6. Stephenson, once a lightweight boxing champion, was successful in business between the wars. During WWII, he served the British government with no salary, spending \$3 to \$9 million of his own money. He was knighted in January 1945, and in November 1946, President Truman made him the first foreigner awarded America's highest civilian honor, the Medal for Merit, with Donovan making the presentation. Troy, *Wild Bill*, 4-7, 8-16, 20, 31-33. Stephenson died in 1989. Troy, himself a longtime CIA veteran, notes that Stephenson's wartime dossier was complex, much of it still classified as late as 1996. Dunlop, 316-18. See also H. Montgomery Hyde, *Room 3603: The Story of the British Intelligence Center in New York during World War II* (New York, Farrar Straus and Co., 1963).
7. O'Toole, 404-5; Smith, 118-21; Cave Brown, 235-37.
8. Ford, 134. Interview with Kirk Stone, Madison WI, October 1, 1988. Navy Lt. Stone, one of 25 uniformed R&A personnel, taught geography after the war in Wisconsin and Georgia. Interview with George Beishlag, Towson, MD, April 12, 1990. As an Army Technician 4th Class, Dr. Beishlag served with OSS' Latin American Division and later the Map Division, teaching geography at Towson State University after the war. Winks, 20, 22 and 89-90; "Geographers, Cartographers, and the Second World War," (videotaped symposium), Annual meeting of the American Association of Geographers, Washington, D.C., April 23, 1983. G.F. Deasy, "Training, Professional Work, and Military Experience of Geographers, 1942-1947," *Professional Geographer*, 6, 1947, 7. Elizabeth P. McIntosh, *Sisterhood Of Spies: The Women of OSS*, Annapolis, Naval Institute Press, 1998, xi. McIntosh joined OSS in 1943, operated behind enemy lines in Burma and China, and retired from the CIA in 1973. Edward Hymoff, *The OSS in World War II*

- (New York: Ballantine, 1972), 76.
9. Cave Brown, 185. Cave Brown states in ch. 20 that the British SIS and other agencies somewhat hampered the work of the Americans because of fears of wartime and postwar American opposition to the British colonial system. Dunlop, 355-58.
 10. McIntosh, 11, 59-63, 66-68; Winks, 20, 22.
 11. McIntosh, 211, 218-19, 238.
 12. McIntosh, 15, 269; Aline, Countess of Romanones, *The Spy Wore Red: My Adventures as an Undercover Agent in World War II* (New York: Random House, 1987) and *The Spy Went Dancing; Further Adventures as An Undercover Agent* (New York: Putnam, 1990). The Countess, who ended her intelligence work in 1947, earned an M.A. from the University of Madrid in 1952, then resumed occasional intelligence work for the CIA from 1958 until 1980. She discussed her wartime activities at the 1991 National Archives OSS Symposium. Chalou, *Secrets War*.
 13. McIntosh, 23-31. For Pack's story, see Mary S. Lovell, *Cast No Shadow: The Life of the American Spy who Changed the Course of World War II* (New York: Pantheon, 1992). Pack's OSS operational name was "Mrs. Gordon." Patrick K. O'Donnell, *Operatives, Spies, and Saboteurs: The Unknown Story of The Men and Women of WW II's OSS* (New York: Free Press, 2004), 27-31.
 14. O'Donnell, 173-74; McIntosh, 114-28; Ford, 249.
 15. McIntosh, 57-59. Dietrich received the Medal of Freedom for her wartime services. Dunlop, 306, 321.
 16. O'Donnell, 124-30. Smith, 100-3; John Ranelagh, *The Agency: The Rise and Fall of the CIA*, rev. ed. (New York, Touchstone, 1987), 57-58; Joseph Persico, *Roosevelt's Secret War: FDR and World War II Espionage* (New York: Random House, 2001), 163-66, 190-91.
 17. Beishlag interview; Dunlop, 307-8; Coordinator of Information-Office of Strategic Services, "DC Buildings and Areas Occupied, July 1941 to December 1944" and Bureau (later Organization) Space Records, Entry 132, Box 9, Record Group (RG) 226, National Archives and Records Administration (NARA), Washington, D.C.
 18. O'Donnell, 124-30.
 19. O'Donnell, 131-33.
 20. Cave Brown, 248-73; Persico, 208-15.
 21. Family papers in possession of author. Dunlop, 449-50; Ford, 289; I.C.B. Dear and M.R.D. Foot, eds., *The Oxford Companion to World War II* (New York: Oxford University Press, 1995), 1249-53.
 22. Cave Brown, 744. The partition of Berlin was mapped by three persons: historian and former Berlin resident Felix Gilbert, geographer Henry S. Sterling, and (according to a contemporary source) Michael Balfour, an English historian with the Political Warfare Executive. Felix Gilbert, *A European Past Memoirs, 1905-1945*, New York: W.W. Norton, 1988, 188-189; Henry S. Sterling personal files; Harold Deutsch, personal communication; Beishlag interview; Barry M. Katz, *Foreign Intelligence: Research and Analysis in the Office of Strategic Services, 1942-1945* (Cambridge: Harvard University Press, 1989), 46-83-84. Arthur M. Schlesinger, Jr., "The London Operation: Recollections of a Historian," in Chalou, ed., 65, suggested that Felix Gilbert deserved principal credit for the manner in which Berlin was subdivided.
 23. Cave Brown, 753. O'Donnell, 309-10. The German officer was Reinhardt Gehlen (1900-1979), whose organization was compromised in part by Soviet intelligence. Ranelagh, 137-38.
 24. Dunlop, 463-65. The postwar continuation of OSS was opposed by a resurgent isolationist press and some members of the Joint Chiefs. Others objected to its wartime ties with British intelligence. There were also concerns that "an all powerful intelligence service" might pry into the lives of ordinary citizens. See Jenet Conant, *The Irregulars: Roald Dahl and the British Spy Ring in Wartime Washington* (New York: Simon and Schuster, 2008), 304-10.
 25. O'Donnell, 311-14.
 26. Cave Brown, 786-88. Hymoff, 83, states that 52 OSS personnel suffered wartime "emotional breakdowns."
 27. Cave Brown, 819-33.

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How Higher Education Differs from Corporate America

The value of cooperation and mutual understanding between two cultural cornerstones should not overshadow the strength of their passionately held differences.

By Ronald D. Simpson



About the Author

Ronald Simpson is Professor Emeritus of Higher Education and Science Education at the University of Georgia. He holds the B.S. and M.S. degrees in biology from the University of Tennessee at Knoxville and a doctorate in science education from the University of Georgia. Prior to returning to the University of Georgia to become the first Director of Instructional Development for the campus, he was Professor of Science Education and head of the Department of Mathematics and Science Education at North Carolina State University in Raleigh. He also served as director of the Institute of Higher Education at the University of Georgia and for 13 years was editor of *Innovative Higher Education*, a national scholarly journal.

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Differences in values between the public and private sectors in our society often divide us. For our citizenry to understand how higher education differs from Corporate America is critically important. These enterprises represent two of the major forces in our society. Corporate America dictates our economy, our material well-being, and our position as a world leader. Higher education is the citadel for learning, for generating new knowledge, and for serving the public good in our society, and indeed throughout the world. Most

people in one sector do not understand the fundamental nature of the other. This factor is even more profound when one realizes that the majority of people who sit on boards of trust or who influence policy for institutions of higher learning are from the corporate and business world. A good example is right here in Georgia. Of the 18 members of the University System of Georgia Board of Regents who served in 2006, one was a physician, one an attorney, one an educational consultant, and 15 were leaders in business and industry. All 18 worked in the private sector.

I will begin by focusing on five areas illustrating significant differences between higher education and Corporate America. I will end by establishing how important it is for all of us to understand the basic foundations of these two sectors, to respect their differences, and to acknowledge that they provide necessary checks and balances for a democratic form of government and a free enterprise system of economics.

Financial and Economic Foundations

The traditional distinction between not-for-profit and for-profit systems marks a major obvious difference between higher education and Corporate America. Of course, many exceptions immediately come to mind. More and more for-profit institutions of higher learning are emerging while many traditional businesses and industries are investing more heavily in education and social sector initiatives. In general, higher education depends on tax monies, gifts, scholarship funds, private and federal grants and, of course, tuition. Corporations traditionally “live by their

Hence, higher education is more concerned with long-term investments than with immediate, measurable outcomes. Business and industry are concerned with both measurable inputs and outputs.

wits” and survive only if a profit is made. The lower salaries typical in education are offset by increased long-term satisfaction; people who work in higher education and in the social sectors are commonly motivated by a cause or a life-long commitment to bringing about needed change for the common good. Higher salaries are usually earned in business, but at the same time risk-taking, intense competition, and instability are more common. Often the love of competition, the desire for economic independence, and a strong commitment to capitalism are prime motivating factors. Higher education generally supports, and subsequently benefits from, political and governmental support. Conversely, corporations and private businesses commonly lobby for less governmental intervention. Again, these conditions vary across a continuum of heavy public funding for some educational institutions, less in others such as private institutions, and still less for the rapidly increasing for-profit

institutions. Alternatively, Corporate America is taking more responsibility for the education and training of its workers.

Organization and Governance

Higher education has typically been organized along a more collegial or shared governance model (also described as legislative leadership), though that varies widely across institutions. Corporations are typically organized in a “top down” or autocratic arrangement (also described as executive leadership). We see many examples in the business world of executive leaders who become high profile leaders by making sweeping, unilateral changes as they take the helm. Alternatively, most college presidents will quickly tell you that negotiation (accompanied by persuasion) is the stock and trade of their leadership style. James Downey has aptly described the large modern university as a triad of “corporation,” “collegiums” and “community.” He describes the strong presence of business and finance officers as the corporation, the faculty as the collegium, and all the interstitial space in between, including students, parents, alumni, sports fans, and donors as comprising the community. The major creative efforts come from the faculty, who essentially are the “workers.” In business and industry, the major creative efforts come from leadership at the top who, in turn, pass on “the work” for others to complete. Generally, diversity of thinking is encouraged and valued in education. Uniformity of purpose and thought has traditionally been valued more in Corporate America. Of course, leading-edge organizations, whether public or private, value creativity as seen in corporations like Microsoft and Google. Organizational structure in higher education is more flexible, more decentralized, and operating with less moment-to-moment control. Organizational structure in the business and corporate world tends to be more uniform and tightly organized.

Purpose and Philosophy

Simply put, the purpose of colleges and universities is to generate learning—to advance the body of knowledge through teaching, research, and public service. Just as important is the fact that higher education serves as a safeguard of society by being an innovator, a critic, and often a contrarian. Equally straightforward, the purpose of business and industry is to provide useful products and/or services at a profit. Corporate America tends to follow the desires, fashions, and popular culture of the day, sometimes even reflecting prevailing political currents. Emphasis on environmental awareness would be one example. Higher education considers long-term investments as the major goal. For example, the outcomes of an education never stop producing results. Corporate America is guided more by immediate results and success (e.g., quarterly or annual profits for shareholders). “Customer satisfaction” is not the prime outcome desired in higher education. “Customer satisfaction” is the ultimate outcome sought by Corporate America. In other words, Wal-Mart greets you when you walk in and wants each customer to leave the store happy. The same is true of TV rankings. The shows that do best in the polls and can demand more money for commercials are the ones that survive.

Higher education is involved with quantifiable inputs such as funded resources, quality of students, and reputation of the faculty. The outputs, to a great extent, are more qualitative than quantitative and are measured in terms of how well they serve the public good. Hence, higher education is more concerned with long-term investments than with immediate, measurable outcomes. Business and industry are concerned with both measurable inputs and outputs. Corporate America possesses more highly tuned metrics so that profitability and efficiency can be monitored and evaluated in an immediate and precise fashion. Again, serving the

private good of consumers is of prime importance to Corporate America.

Culture and Values

Higher education (particularly knowledge-generating research universities) focuses on asking tough questions, challenging current practices, and serving as a major critic of social practice. Who else would do this? Corporate America focuses on generating practical solutions to current problems deemed important by clients and consumers. Once again, serving the private needs of members of society is paramount. Higher education requires an extended period of probation for its workers (the faculty), followed by delayed rewards and security for those scholars who are successful. Corporate America requires early outputs, followed by immediate rewards, but provides comparatively less security over time.

Though the tenure debate is a topic for another day, here we can glance briefly at one positive aspect of tenure. Scientists and scholars, once having proved they are worthy and responsible to carry out the important (and sometimes controversial) work in their chosen fields, are provided protection from outside interference that might come from social, religious, or political forces that are popular or dominant at the time. Most faculty members are willing to make less money in order to “live the life of the mind” over the career span. Most in Corporate America are energized by opportunities to compete, advance, and obtain financial security as soon as possible. Higher education values abstract thinking, concept development, and theoretical frameworks. Corporate America values concrete thinking, practicality, and useful outcomes.

Standards for Quality Performance

As stated earlier, higher education, like other social sector organizations, is guided primarily by a long-term dedication to meeting the public needs

of society. Quality in Corporate America is defined primarily by the ability to produce goods and services that are desired by the consuming public—and to do so at a profit, hence providing economic gain within our free enterprise system. Again, it is important to remember that while higher education requires money as an important input, the most important outputs are not measured in terms of money. In business and industry, money is an indispensable input, as well as an indispensable output. Higher education is more time-independent in terms of outcomes and indicators of success. For example, when students graduate we call it commencement—this being viewed as a beginning, not an endpoint, of their journey in life, and certainly not the end of the influence of their formal education. Business and industry are very time-dependent in terms of outcomes and measures of success. Quality in the corporate world is often defined as how much can be done per unit of time. Peer review has been the time-honored method for performance evaluation in higher education. Within Corporate America, individual and collective performance is typically evaluated in a more centralized and hierarchical manner.

It has often been said that curiosity is the mother of science while necessity is the mother of technology. So it is with higher education and Corporate America. Higher education deals with questions of “why, how, and for what purpose?” Corporate America deals with issues of immediate need by asking questions such as “when, where, how much, and how soon can we do it?” In the end, higher education honors most the concept of effectiveness. In the end, what Corporate America values most is efficiency.

Conclusion

I would like to end by providing a few summary comments to underscore why this is a highly relevant topic for current discussion in our society. Higher

*Our country is great
because of its ideals.
This is fostered in large
measure when the
imagination, idealism,
and academic freedom
of higher education are
balanced with the
pragmatism, spirit of
entrepreneurship, and
work ethic of Corporate
America.*

education and Corporate America represent two of the vital cornerstones of our society, embodying contrasting beliefs and values that divide our country. While the underlying values of these two forces are different, higher education and Corporate America influence each other, need each other and, in fact, depend on each other. Each provides grist, energy, and purpose for the other. Despite the fact that these two enterprises need to be cooperative and strive more fully to understand the roles of the other, their fundamental value to our society should not be compromised. The expression of passionately held differences about benefits and outcomes of the two displays the strength of our society. For example, since higher education and the social sectors do not live or die by annual profit margins, they can afford to work toward important qualitative outcomes that may defy quantification in the short term, but hold potential for spectacular outcomes in the future. Higher education is one of the few forces in our society where genuine freedom of speech can potentially be found, and where individuals can debate and disagree without serious repercussions. This freedom should always remain a high priority. The

experience of Professor Eliot Cohen of Johns Hopkins illustrates the freedom afforded a tenured faculty member. When he criticized the Bush Administration’s handling of the Iraq war in a *Washington Post* article in 2005, at a time when his own son was preparing to enter combat in that region, Cohen told a C-Span interviewer that if he had worked for the government or been in the military, he would never have been able to say what he did. Interestingly, after this controversy, he became a top adviser to Secretary of State Condoleezza Rice.

Given that higher education serves as a fulcrum on which experimentation and innovation are encouraged in our society, it is not surprising that faculty members, particularly in the basic disciplines, are generally perceived by society as being “liberal.” Indeed, the “liberating mission” of teaching students moves them from concrete to increasingly more abstract levels of thinking. To label all college professors as political liberals, however, is inaccurate—particularly since many faculty members are associated with professional areas that serve the private sector such as medicine, law, business, agriculture, forestry, and pharmacy. Universities are, without question, among the most durable and lasting entities in modern civilization. The protection and academic freedom afforded universities over many centuries have allowed them to resist many kinds of external pressures for change that other enterprises have not enjoyed. Corporate America must operate in a more progressive manner, mutating from one form to another in rapid succession to stay competitive and to survive. So from an institutional standpoint, higher education is more conservative than Corporate America, lending credence to the saying that creating change in academic structures is like trying to move a cemetery. By contrast, in his study *Good to Great and the Social Sectors*, Jim Collins “*Higher Education*,” see page 36

Tobacco—The History, the Science, and the Politics

The tobacco industry persists despite opposition from scientific evidence and political action.

By Anna Johnson-Winegar



About the Author

Dr. Anna Johnson-Winegar holds a B.S. in Biology from Hood College, as well as M.S. and Ph.D. degrees in Microbiology from Catholic University of America. She has published numerous technical manuscripts, and authored or co-authored several book chapters. A long-standing member of many professional societies, she is a past national Chair of the Board of the American Cancer Society. In 1998, she received the lifetime achievement award from Women in Science and Engineering. Upon her retirement from civil service, she received the Department of Defense Meritorious Service Award, a Presidential Rank Award as a Meritorious Executive in the Senior Executive Service, the Gold Medal from the National Defense Industrial Association, and numerous other recognitions. In 2006 she was recognized as the Distinguished Alumna from Hood College. She is currently engaged in private consulting work.

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“The Evil Weed,” “Cancer Sticks,” and “Coffin Nails”—these are some of the names that smokers themselves use to describe cigarettes, yet they continue to smoke. The tobacco industry does such a good sales job that it kills about half its customers. Indeed, tobacco is

the only legal product that, when used as directed, causes death. To replenish its customer base, the industry has to seduce and addict approximately five million children and teenagers each year just to stay even! Tobacco companies must target young people because the great majority of smokers begin smoking before they are 18. Astonishing as it may sound, approximately 80,000–100,000 children and adolescents around the world become addicted to tobacco each day. Why did smoking become more popular in the twentieth century until its recent decline? What are smoking’s effects on health? What actions are the United States and other nations taking to address the scourge of tobacco?

History

Although tobacco has been traced in the Americas to 6000 BCE, it wasn’t until the Christian era that it was used for smoking and chewing. The first pictorial record of smoking, painted on an eleventh century pottery vessel, pictured a Maya Indian smoking a roll of tobacco leaves tied with a string. When Columbus landed in the Americas in 1492, he wrote in his journal that the natives brought fruit, wooden spears, and certain dried leaves which gave off a distinct fragrance. Since each of these gifts seemed to be highly prized by the natives, Columbus graciously accepted the gifts and brought them back to the ship where the fruit was eaten, but the pungent leaves were thrown away. Later in 1492, Rodrigo de Jerez and

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Luis de Torres reported that Cuban natives wrapped dried tobacco leaves in palm leaves and, after lighting one end, appeared to drink the smoke from the other. On Columbus’ next trip in 1493, a monk named Ramon Pane observed the Indians inhaling tobacco smoke, and is credited with introducing tobacco to Europe.

During the sixteenth century, the Portuguese began planting tobacco near their trading posts along sea routes, developing these smallish farms to a point where they could harvest enough tobacco to meet personal needs, provide some modest gifts, and have some left for bartering. By the beginning of the seventeenth century, these farms had grown into actual plantations, and smoking became popular in England with Sir Walter Raleigh’s legendary invitation to Queen Elizabeth to have a cigarette. The complaint to King James I by a group of physicians that people were obtaining the tobacco without a physician’s prescription may have been the first attempt to regulate tobacco. King James increased the import tax on tobacco by 4000% (from 2 pence/lb up to 6 shillings 10 pence/lb), setting

the stage for current governmental control on tobacco, both out of health concerns and to augment revenue by taxing it.

As England's American colonies grew, Negro slaves were sought to work the Southern tobacco plantations. By the mid 1600's, tobacco was enjoying a boom, often used as currency. In 1620, the first international trade agreement regarding tobacco was negotiated between the English Crown and the Virginia Company, banning tobacco growing in England and imposing a 1 shilling/lb duty on tobacco from Virginia. An extension of this agreement during the reign of Charles II kept the taxes coming in from the Virginia imports. Smoking itself was controlled by a Massachusetts law of 1683 that forbade smoking outdoors, not in the interest of clean air but simply for fire prevention.

The 1700s saw a new concern with tobacco standards, with the Virginia Inspection Act outlawing the export of "trash tobacco," diluted with extraneous leaves and even household sweepings. Inspection regimens were also set up to verify the weight and quality of the tobacco leaves in each shipment. On the health side, some early papers were written on the potential dangers of tobacco, primarily targeting the use of snuff. Still, the industry thrived, with cigar and pipe smoking on the increase in the late 1700s. With tobacco growers heavily in debt to British merchants and British taxes aggravating the situation, tobacco helped finance the American Revolution by serving as collateral for the loan Benjamin Franklin received from France. George Washington once appealed to his fellow countrymen for aid to his army, saying: "If you can't send money, send tobacco." Tobacco exports helped the young government build up financial credit abroad and repay debts after the war. In 1794, the

U.S. Congress passed the first federal excise tax on tobacco, but the tax of 8 cents—doubling the price—applied only to snuff.

In the early nineteenth century, an anti-tobacco movement arose as part of the temperance movement, arguing that tobacco dried out the mouth, promoting the use of liquor to quench the thirst. The movement had little impact, and the industry continued to grow, with tobacco included in Civil War soldier rations and the appearance of a factory in 1864 that produced 20 million cigarettes the first year. In 1875, R. J. Reynolds founded a company destined to become one of the major producers of tobacco products, and the invention of a cigarette rolling machine five years later increased production rates. In 1890, the American Tobacco Company (ATC) was established, which quickly monopolized the industry before it was dissolved by anti-trust actions in 1911.

By 1900, approximately 4.4 billion cigarettes were being sold annually, and 80% of American men were smoking at least one cigarette per day. In 1913, R.J. Reynolds introduced Camel, the first pre-blended, packaged cigarette, which became the nation's first nationally popular cigarette. To compete with the phenomenal success of Camel, American introduced Lucky Strike with the motto "It's Toasted," and by 1917 Chesterfield had been introduced, establishing America's top three brands.

Science and Health

The twentieth century ushered in a greater concern for the health risks of tobacco. Nicotine, the primary addictive component of cigarettes, was originally listed in the Federal Food and Drug Act of 1906, thereby granting the FDA some degree of regulation, although nicotine was later removed

from the list under intense tobacco industry lobbying. In 1912, the first strong link between lung cancer and smoking was established in a paper by Dr. Isaac Adler. Later that same year, the first operation to remove a lobe of a cancerous lung was performed in London. In 1913, the American Society for the Control of Cancer, later the American Cancer Society, was formed to inform the public about the disease. By 1930, there were over 2,000 cases of lung cancer reported in the US, and lung cancer death rate in white males was 3.8 per 100,000. An article published in 1939 was probably the first study that strongly indicted tobacco as a primary cause of cancers of the lips, tongue, mouth, jaw, esophagus, windpipe, and lungs. It even went so far as to say that "passive smoking" (second-hand smoke) posed a serious threat to non-smokers. An article in the *Journal of the American Medical Association* in 1940 showed a strong link between smoking and a higher incidence of coronary disease. Nevertheless, the tobacco industry continued to thrive and, by 1940, adult Americans were smoking over 2,500 cigarettes per capita per year, nearly twice the consumption reported in 1930. At the start of World War II, as part of the war effort, Roosevelt made tobacco a protected crop. Some years earlier, his wife, Eleanor, was dubbed the first lady to smoke in public. Cigarettes were provided in rations for soldiers in World War II, and there was even some concern over shortages at home. By the late 1940's over 50% of American men were regular smokers, and about 33% of the women, encouraged by the proliferation of cigarette advertising. To counter this alarming trend, the Surgeon General issued a report on Tobacco and Health in 1964, replete with convincing data, and providing for the printing of serious

health warnings on packaging.

In the complex chemistry of tobacco, two groups of components specific to tobacco and not found in any other natural substance are the alkaloid nicotine, along with the related substances nor nicotine, myosmine, and anabasine, and a second group of compounds called isoprenoids. Cigarette smoke, a heterogeneous mixture of gases, uncondensed vapors, and liquid particulate matter, enters the mouth as a concentrated aerosol with billions of particles per cubic centimeter, with the median size of the particle being about 0.5 micron (which is optimal for deposition deep in the lungs' air cells). Smoking machines that analyze large numbers of cigarettes collect between 3 and 40 mg. of condensed tar per cigarette, containing both particulate material and gas components, and almost all known hydrocarbons. Nearly 500 of the 2108 aromatic polycyclic hydrocarbons in tobacco smoke have been reported by the National Cancer Institute lists to cause malignant tumors in animals. Most of these carcinogenic compounds are not present in the native tobacco leaf, but are formed by pyrolysis at the high burning temperature of cigarettes. A significant discovery has been that cigarette smoke can inhibit the constantly moving stream of mucus in respiratory ciliated cells, enabling environmental carcinogens to reach the epithelial cells of the lungs and other parts of the respiratory system.

However, the most dangerous and most widely studied component is the addictive stimulant nicotine that releases dopamine in the brain, producing a sense of relaxation at the same time, although more recent research suggests that in the long term, nicotine depresses the ability of the brain to experience pleasure, requiring greater amounts of the drug to achieve the same levels of satisfaction. Smoking is therefore a form

of self-medication; further smoking alleviates the withdrawal symptoms which set in soon after the effects of the nicotine wear off. Possibly one of the strongest indicators of the addictive effect of nicotine is the discrepancy between the stated desire to quit and the actual success of quitting. Surveys continue to show that 70% of smokers want to quit, yet the success rate remains very low.

Documents from the tobacco industry from as early as the 1960s reveal the tobacco companies' awareness that the main reason people continued to smoke was nicotine addiction. Publicly, however, the

*By 1900, approximately
4.4 billion cigarettes were
being sold annually, and
80% of American men
were smoking at least
one cigarette per day.*

tobacco companies denied that nicotine was addictive because such an admission would have undermined their stance that smoking is a personal choice. In point of fact, the nicotine levels of cigarettes were not obtained by accident; rather they are regulated, fairly precisely, to any desired level that management requires. Tobacco companies recognize that "the entire matter of addiction is the most potent weapon a prosecuting attorney can have in a lung cancer/cigarette case. We can't defend continued smoking as "free choice" if the person was "addicted." Their denials about addiction culminated in Congressional hearings in 1994 when the chief executive officers of the seven largest American tobacco companies all testified that nicotine is not addictive. In the late 1990s, as more internal

documents came to light, the companies responded by trying to change the definition of addiction, which they now say applies to such activities as shopping or the Internet. The industry's argument was refuted by a former Phillip Morris Company scientist, who provided damning testimony at the hearings, claiming he had known while at the company that nicotine alters brain function in rats. His research helped prove the addictive nature of nicotine, and his testimony showed that this information was deliberately withheld from the public by the tobacco companies.

Annual reports by the Centers for Disease Control and Prevention update in table form the list of diseases caused by smoking. Remarkably, the report for 2004 identifies a substantial number of diseases associated with smoking for the first time. Ten forms of cancer and four types of cardiovascular disease are now attributable to smoking, along with numerous respiratory diseases. Smoking also has detrimental effects on reproduction, producing stillbirth, lowered fertility rates, low birth weight in babies, and some complications of pregnancy. Finally, a number of other diseases are caused by smoking, including cataracts, hip fractures, low bone density, and peptic ulcers. A more recent study, published in July 2005, shows that teenagers who smoke are at an increased risk for metabolic syndrome, a condition that increases the chances of heart disease, stroke, and diabetes as adults. Although the data are not as convincing, some studies suggest that smoking speeds up mental decline, specifically the onset of Alzheimer's disease. Smoking increases the rate of Sudden Infant Death Syndrome, and may increase babies' risk of colic. Some evidence has recently shown that people whose genes make them more susceptible to

rheumatoid arthritis are more likely to get the disease if they smoke. Overall, smoking is estimated to lessen life expectancy by 13-15 years. Smoking-related medical costs totaled \$75.5 billion in health care in 1998 and accounted for about 8% of personal medical care expenses. Finally, in addition to the direct increase in disease rates, smoking has an adverse effect on productivity. Smoking deaths cost the United States about \$92 billion in lost productivity in the five years ending in 2001, up about \$10 billion from the previous five-year period.

Cigarette smoking remains the leading preventable cause of death in the United States, accounting for approximately 1 out of every 5 deaths each year. Yet, despite widespread awareness of this risk, national estimates show that 22.5% of all adults (about 46 million people) continue to smoke cigarettes in the US, predominantly those under 65. Smoking is more prevalent in men than women (25.2% vs. 20%), most common among adults with only a GED diploma (42.3%, vs. 7.2% for those with a college degree), and among those below the poverty level (32%, vs. 22.2% for those above). Estimates of smoking by state vary widely, ranging from lows of 12.7% in Utah and 16.4% in California to highs of 32.6% in Kentucky and 29.4% in Alaska.

A recent study revealed that many Americans ignored the potentially lethal aspect of cigarettes and continued to smoke for any of several reasons—they like the taste, smoking reduces stress, it helps to control weight, it enables them to be part of the group, or they know how dreadful it is to try to quit. Rationalizing a bad habit, many smokers feel they are still in good health. As researcher Robert Califf of Duke notes, people are not good at thinking about probabilities, choosing the immediate

Most experts believe a more comprehensive approach... taxation, bans or restrictions on tobacco advertising, clean indoor air legislation, and information dissemination is most likely to succeed.

gratification of a cigarette far over the nebulous future risk, trading off a short-term, self-perceived, improved quality of life for a higher long-term risk of death or disability. For Dr. Califf, smoking's addictive quality means that a youthful indiscretion and daring can become a physical problem reinforced by unalterable physiological urges.

The death in early August 2005 of well-known journalist Peter Jennings increased awareness of the harmful effects of cigarette smoking. A long-time smoker who had successfully quit, he returned to cigarettes under the stresses of the 9/11 tragedy. He was one of about 200,000 Americans diagnosed with lung cancer each year, six in ten of whom will die within a year of their diagnosis, and only 15% will survive five years. Of these diagnosed cases, 85–90% are directly attributable to smoking, prompting numerous lawsuits charging the tobacco industry with promoting addiction. The final section of this paper will review efforts by individuals, courts, and nations to establish the tobacco industry's responsibility for so many untimely deaths.

Politics

In the late 1990's several prominent cases were brought in numerous states. A Florida jury ruled that the nation's five largest cigarette makers had produced a product ruled "deadly and defective" to more than 500,000 Florida residents involved in a class action lawsuit. Some

legal experts predicted the damages could top \$300 billion. After a number of similar judgments, in 1998 a team of eight Attorneys General achieved a settlement establishing the most significant reform of the tobacco industry, with the largest financial recovery in the nation's history. Under the settlement, the tobacco companies agreed to significant curbs on their advertising and marketing campaigns, at the same time funding a \$1.5 billion anti-smoking campaign. They also agreed to make public previously secret industry documents concealing damaging research results, and to disband industry trade groups which had been formed to keep the information secret. Other provisions mandated that cigarette retailers would have to be licensed, would be allowed to sell only to adults, and would be subject to rules about where they placed tobacco products in their establishments. Employers, fast-food restaurants, and some other specific establishments would be required to create smoke-free areas. The actual parties to the Master Settlement Agreement, signed on November 23, 1998, were 46 of the states (the other four had reached previous settlements). Actual allotments of funds to each state were determined by a formula established by the Attorneys General. Tobacco manufacturers would be assessed annual payments on total domestic sales for as long as they sold tobacco products in the United States. If sales remained at 1998 levels, those fees would total \$368.5 billion (in 1998 dollars) over the next 25 years. If the incidence of teenage smoking does not stay below specified targets, the manufacturers are potentially at risk for additional payments of up to \$2 billion per year.

On the international scene, the problems with tobacco are increasing.

As efforts within the United States to control tobacco use are accelerated, the industry is seeking other markets. Currently tobacco kills over 5 million persons worldwide, with about 70% of these deaths occurring in developing countries. As is true in the US, tobacco use also represents a high economic burden in many foreign countries. The World Bank has estimated that health care costs for tobacco-associated illnesses account for 6–15% of all annual health care costs. Many groups around the world have joined in support of the World Health Organization's efforts to control the use of tobacco. In 1999, after four years of negotiations among its 191 members, the WHO launched the Framework Convention on Tobacco Control (FCTC), a landmark protocol banning most tobacco advertising, prohibiting such deceptive terms as "low tar" or "light," carrying anti-smoking warnings on at least one-third of the package, and mandating measures to reduce smuggling and to protect non-smokers in public or the workplace. The treaty also calls for such tobacco control measures as increased tobacco taxes, the elimination of sales to minors or in duty-free stores, further litigation against the tobacco industry, and including tobacco cessation services in national health plans. This document was unanimously adopted by the member states during the fifty-sixth World Health Assembly in May 2003, the U.S. becoming the 108th of the current 168 signatories a year later. By late 2005, enough nations had ratified the FCTC treaty to make it binding, although the Bush administration declined to present it to the Senate for consideration, leaving it to other countries to refine and implement the policies.

Such worldwide anti-smoking efforts are seen in the United States, especially the recognition that taxation

is the most cost-effective option for reducing tobacco use. On February 4, 2009, President Obama signed the SCHIP legislation to continue health insurance coverage for school children, funded by a 62-cent increase in the federal tax on cigarettes, bringing the total federal tax to \$1.01 per pack. Many states have added additional state tax. As of August 2008, the states with the highest cigarette tax were New York, \$2.75 per pack; New Jersey, \$2.575; Rhode Island, \$2.46; Washington, \$2.02; and six other states at \$2.00 per pack. A number of states and localities have successfully passed clean indoor air statutes. This type of legislation has met strong opposition from many industries, including the restaurant associations and some labor unions.

To control this tobacco epidemic, we must promote the passage of pending Congressional legislation to grant the FDA regulatory authority over the industry, and protect our children from targeted advertising and imported candy-flavored tobacco products. Along with further taxation, our communities must fully fund prevention and control programs. The future of tobacco use lies not only in the hands of the scientists and physicians who are tasked with finding ways to curb the desire to smoke, but also in the hands of the politicians who can regulate the circumstances under which tobacco products can be manufactured and used. Most experts believe a more comprehensive approach which includes taxation, bans or restrictions on tobacco advertising, clean indoor air legislation, and information dissemination is most likely to succeed. While the talents and energies of the scientists are properly focused, they are not sufficiently rewarded. On the other hand, the talents and energies of the politicians are often rewarded when not

directed at solving the problem. Tobacco use has a tainted history, a solid scientific basis for understating the addiction, and an uncertain future in the hands of the politicians.

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First Flight in Lincoln

America's Heartland has produced a pioneering integralist philosopher.

By Donald G. Hanway, DMin.



About the Author

Donald G. Hanway is a graduate of the University of Nebraska-Lincoln, with a B.A. in Psychology and M.A. in Philosophy. He was commissioned in the U.S. Army Signal Corps in 1966, serving in Vietnam and at the Pentagon. He received the M.Div. degree from Virginia Theological Seminary, Alexandria, VA, and was ordained an Episcopal priest in 1971. He served churches in Holdrege, NE; Kalamazoo, MI; Beatrice, NE; and for 22 years was Vicar, then Rector, of St. Mark's on the Campus in Lincoln, NE, the church where he was married in 1966. Don earned the Doctor of Ministry degree from Virginia Seminary between 1993 and 1997. He retired at the end of 2003, after 32 years of parish ministry. Don has been a member of the Tom Carroll Lincoln Torch Club since 1993, and served as President from 2004-2006. He is the author of two books, *A Theology of Gay and Lesbian Inclusion: Love Letters to the Church* (Haworth Press, 2006) and *Her Appearing: A Love Story* (iUniverse, 2008).

Presented to the Tom Carroll Lincoln Torch Club on December 16, 2002.

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Introduction

One fine spring afternoon in the late 1980's I was sitting in Memorial Stadium in Lincoln, Nebraska, alternating my attention between watching the Cornhusker Spring Football Game and reading a book loaned to me by my resident guru, a retired professor who

has steered my way books on the environmental crisis, the Near Death Experience, world financial trends, the paranormal, Native American culture, and quantum physics. The book in my hands that day was entitled *The Spectrum of Consciousness*, the first effort of the as-yet-unknown integralist philosopher Ken Wilber to spread his wings. He had written the book in Lincoln at the age of 23.

Wilber now lives in Boulder, Colorado, and has written more than twenty books. He has read many more. In fact, with the possible exception of Jacques Barzun, whose magnum opus *From Dawn to Decadence: 500 Years of Western Cultural Life* was finished at the age of 93, I can think of no one in our time more deserving of the accolade "Renaissance Man" than Wilber, for his vast embrace of contemporary thought, and his ability to see how the many varieties of knowledge can be complementary, rather than mutually exclusive. In the best sense, Ken Wilber is a university in one human cranium. And by my calculations, he is only in his fifties.

Wilber's "first flight" was a Wright Brothers venture, compared to his lofty soaring in the years following. Now it's time for a disclaimer. I have read roughly a third of his books, and perhaps have understood a third or less of what I have read. Nevertheless, Wilber has made his mark on me. My purpose in presenting this paper is to propel those not yet personally privy to this prodigy to pick up and peruse some pages of his panoramic perception.

What I propose to do is to present a few points most important to me in the writings of Ken Wilber, and to summarize what I find to be his most significant contributions to the great conversation among inquiring minds, as well as to note

My purpose in presenting this paper is to propel those not yet personally privy to this prodigy to pick up and peruse some pages of his panoramic perception.

how his thought relates to my own view of reality.

Excursus

Before I do so, however, permit me a brief side trip. I would like to mention a handful of other recent writers on science and the paranormal who have expanded my view of what may be "out there," and so in their own way made me more receptive to some things Wilber is saying. My seminary library has a motto carved in stone over the entrance, which reads: "Seek the Truth, come whence it may, cost what it will." I have taken that watchword for my own.

The first writer I would mention is Michael Talbot, prematurely deceased, author of *The Holographic Universe*. Talbot was a popularizer of the implications of brain research, quantum physics, and the paranormal. It was the *conjunction* of those three areas of discovery that I found particularly striking. Talbot engaged my attention with his thesis that the universe is amazingly interconnected, and that we are not simply *spectators* but *players* in the ongoing drama of creation.

In 1992, Paul Davies, an Australian physicist, came out with two books. One was *The Matter Myth*, co-written with John Gribbin, making the case (for the

benefit of those of us not in the scientific loop) that the universe is composed of *mind*. That concept is fulcrumatic (I may have just made up that word) in the shift from Newtonian thinking to quantum thinking. The other book by Davies that year which pays a compliment to Wilber, was *The Mind of God*, a title taken from Stephen Hawking's concluding statement in *A Brief History of Time*, which reads:

"If we *do* discover a complete theory, it should in time be understandable in broad principle by *everyone*, not just a few scientists. Then we shall *all*, philosophers, scientists, and just ordinary people, be able to take part in the discussion of why it is that we and the universe exist. If we find the answer to that, it would be the ultimate triumph of human reason—for then we would truly know the mind of God."¹

In 1996, physicist Fred Alan Wolf published *The Spiritual Universe: How Quantum Physics Proves the Existence of the Soul*. Wolf, so far as I can tell, does not prove what his presumptuous title claims, but does do quite a dance, ranging widely over philosophy, science, and religion—not mentioning Wilber, but paralleling some of his ideas, notably the stages of developing consciousness, and Buddhist thinking about reality and illusion.

Perhaps the quirkiest of these Wilber-like writers is P.M.H. (Phyllis) Atwater, a psychic and multiple veteran of the Near Death Experience, who came out in 1999 with a book called *Future Memory*, arguing that human higher evolutionary development is based on structural and chemical changes occurring in our brains. This impressive book ranges over science, her own life experiences, and the psychic experiences of others in a way that rivals Wilber, and acts as a bridge to his thought, yet without mentioning him. Now on to the main event!

Wilber: Selected Writings

The first book of Ken Wilber that

moved me from saying "that's interesting" to "that's true" was *No Boundary*, which first appeared in 1979, and was also written in Lincoln. Building on his view of consciousness as a spectrum encompassing mind and body, self and universe, Wilber in a mere 160 pages nailed down a point many other writers have tried to establish—namely, that we create all sorts of problems when we introduce *artificial* separation where no *real* separation exists. Boundaries exist essentially in our minds, not in the world. The consequence of projecting our boundaries upon the world is to limit the connectedness of all of life. In *No Boundary*, Wilber prefigured his later attempts to show the relationship between science and religion, between Eastern thought and Western thought, between disciplined reflection and mystical experience. *No Boundary* revealed that Wilber himself had come to a profound awareness of the underlying unity of all existence and all knowledge. In two other books, *A Brief History of Everything* and *The Marriage of Sense and Soul: Integrating Science and Religion*, Wilber recovered a view of reality that was pre-modern, predating the reductionism to materialism that led to a split among science, morals, and art, or the true, the good, and the beautiful. The pre-modern view was that all being and all knowledge are enfolded in a Great Nest, or series of nests, with each part including the parts preceding it, but adding new features. Reality is not discovered by finding the lowest level units of being, but by seeing how depth and consciousness emerge, as matter is encompassed in life, life in mind, mind in soul, and soul in spirit.

In perhaps the most ambitious part of his project, Wilber surveyed hierarchies of being and knowledge—pre-modern, modern, and postmodern—and found that they could all be inter-related as four quadrants, dealing with the interior and exterior of the individual and the collective. He dared to suggest that the four quadrants, viewed together,

may help us begin to rejoin what was split apart by modernism. Modernity was both a blessing and a curse, Wilber asserted, in that it gave us the means to overcome ignorance, but also technologies to extend the devastation that can be wrought by ignorance. Wilber is *not* anti-science. He wants science to be partnered with an awareness that the drive of consciousness is toward an integration that far exceeds the maps we have so far made of the world. Nor is Wilber beating the drum for extreme postmodernism. In fact, his *critique* of it is important to understanding where he is going.

"Everything is 'socially constructed'—this is the mantra of the extremist wing of post-modernism. They think that different views are arbitrary, anchored in nothing but power or prejudice or some 'ism' or another. If the constructivist stance is taken too far, it defeats itself. It says that all world views are arbitrary, all truth is relative and merely culture-bound, there are no universal truths. But that stance itself claims to be universally true. ...This extreme constructivism is really just a postmodern form of nihilism...and the hidden core of that nihilism is narcissism [in which] truth is ignored and replaced with the ego of the theorist."²

Wilber's view, by contrast, is evolutionary and inclusive. He sees new world views not as negating earlier ones, but as making them more complete.

As Wilber sets forth in the introduction to *A Brief History of Everything*, there are two basic types of spiritual quests, one seeking God through leaving the world via the Ascending Path, and the other seeking God in the world of the senses, distrusting anything other-worldly by following the Descending Path. The split between these two quests is not a matter of East vs. West. Rather, there has been a reversal in the West, from Ascending to Descending, with the rise of modernity

and post-modernity. Wilber wants to see the two Paths integrated, as the best of religion has done. For those movie lovers among you, if you want to see a half-humorous, half-tragic example of what Wilber calls the two-thousand-year-old war between those on the Ascending Path and those on the Descending Path, it occurs to me that you could look (or look again) at a movie called *Holy Smoke*, starring Kate Winslet and Harvey Keitel, through the lens of these two spiritual paths. Winslet's character, Ruth, is caught up in rapture in finding the Ascending Path, only to come crashing down in confusion, through the efforts of her deprogrammer, played by Keitel. He, in turn, becomes confused when she plays the Descending Path to the hilt. He finds peace of mind or salvation through a fusion of the two Paths, just as she finally does. I would argue, out of my own tradition, that authentic love always involves a meeting of the two Paths; that is, a coming down to earth, as well as being lifted out of oneself and the purely physical.

Wilber's book, *The Atman Project*, the most difficult of his works I have read, is an attempt to show how human beings can evolve, achieving a spirituality that is in tune with the universe. Its main thesis is simple enough, as Wilber lays it out in the preface: [Human] development is evolution; evolution is transcendence; transcendence leads to unity in God. Wilber confides that he was at one time a romantic, meaning that he thought growing up meant losing the unconscious bliss of infancy, and having to find one's way back to it. Now he realizes that growing up means becoming more conscious of one's alienation from the Ground of Being, so that one needs to go forward in awareness, rather than backward. *The Atman Project*, as he describes it, is a necessary journey, a part of the evolution we must all go through as we develop from infant to grey or white-haired sage. However, it is also a journey based on a misunderstanding, because we are looking for Spirit in all the wrong

My seminary library has a motto carved in stone over the entrance, which reads: "Seek the Truth, come whence it may, cost what it will."

places—in the world of time and objects, where we are tempted to settle for substitute gratifications. To put it most bluntly, he says:

The entire structure of the manifest universe is driven by the Atman Project (this misguided attempt to find Spirit), a project that continues until we awaken to the Spirit... The nightmare of history is the nightmare of the Atman project...³

Conclusion

If one were to read only one book by Ken Wilber, perhaps it should be his journals during the year 1997, published later under the title *One Taste*. These records of his reflections convey the scope of his reading and his thought, give a flavor of Ken Wilber as a person, and set forth his personal faith as a practicing Buddhist. Wilber waxes poetic as he confronts the mystery of life, in which the good, the true, and the beautiful are all one. He notes that Christianity has a deep tradition of mysticism, but has lost much in its efforts to institutionalize Spirit.

How does Wilber's faith relate to my own? I think that Wilber is right, that the core of Christianity is mystical, just as the core of Buddhism is mystical. Christians celebrate a staggering assertion: that the eternal and infinite came among us in human form, and that we in turn are called to live as children of the Most High. It is a proclamation we have barely begun to probe. Where Christianity can take a page from Wilber, I think, is in what we anticipate, so far as our personal survival is concerned. Wrapped around the core of Christianity,

which is what we make of a child born twenty centuries ago, is a pattern of rising to greater life through letting go of lesser life. It is the Great Nest of the spiritual pilgrimage referred to by Christians as "the Paschal Mystery": that we are, with Jesus, crucified and risen, and that we find new life by letting go of the old and giving ourselves away. What is Christianity in danger of forgetting? That we are part of something much larger than ourselves, and that it is only in losing our smaller selves that we will find our Greater Self.

I conclude by noting what I think are Wilber's principal contributions to the great conversation. *First*, I think he has made a wonderful case and provision for the inclusion of all knowledge, as opposed to the belittling and exclusion that has characterized so much of the academic enterprise within our lifetimes. An example of that belittling is the way so many have tried to dismiss the Near Death Experience as reducible to chemical reactions in the brain. *Second*, I think that Wilber has shown both the contribution and the potential abuses of postmodern thinking, and has enlarged the quest for intellectually respectable truth to include religion, both Eastern and Western. *Third*, I believe that Wilber has summoned us to grow in our own consciousness of the spirituality and interrelatedness of all life.

I close with a sentence Ken Wilber wrote on December 3, 1997.

"Once you taste *One Taste*, no matter how fleetingly at first, an entirely new motivation will arise from the depths of your very own being and become a constant atmosphere which your every impulse breathes, and that atmosphere is compassion."⁴

Notes

1. Stephen Hawking, *A Brief History of Time*, quoted in Paul Davies, *The Mind of God: The Scientific Basis for a Rational World* (New York:

"First Flight," see page 36

Glenn Hammond Curtiss: Local Treasure, National Hero

The bicycle-making Wright brothers started it all, but motorcycle-maker Curtiss supplied engines that put aviation into high gear.

By Stephen J. Eberhard



About the Author

Elmira, New York, pediatrician Stephen Eberhard grew up in Ohio, receiving his BS from Cleveland's Case Western Reserve University in 1963, and his MD from Wake Forest University in North Carolina in 1967, with internship and residency in the Cleveland area. After a stint with the US Medical Corps in Maryland, he began private practice in Elmira in 1972 for two years, moved to Parma, OH for a year, and returned to Elmira in 1975, where he continued to practice until his retirement in 2007. He currently chairs the Arnot Ogden Medical Center Board of Managers, and has filled various board positions with the NY Chapter of the American Academy of Pediatrics, the NY Medicaid Advisory Group, the Chemung County Task Force for Child Abuse, and the county's United Cerebral Palsy Association.

Presented to the Elmira Torch Club on May 3, 2007.

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In the brief history of the United States, there is probably no decade where technological development influenced daily living more than the first decade of the twentieth century, when the telephone, the radio, the phonograph, the automobile, motion pictures, and the airplane were born. Although the Wright brothers clearly accomplished the first powered flight of

an aeroplane at Kitty Hawk, NC on December 18, 1903, it is generally agreed that, over the next decade, Glenn Curtiss did more to advance the cause of aviation than anyone else in the world. I will support this claim by reviewing the highlights of his extraordinary career, one frequently forgotten by all except those knowledgeable about the history of aviation.

Beginnings

Born in 1878 and named for the "glen" in his mother's native Hammondsport in New York's Finger Lakes region, Glenn Hammond Curtiss was raised by his widowed mother in the home of his paternal grandmother, Ruth Curtiss, while his mother, Lua, tended to her career as an artist and cared for Glenn's deaf younger sister, Rutha. When Lua moved Rutha to Rochester to attend a school for the deaf, Glenn remained in Hammondsport with Grandma Ruth. After completing eighth grade at age 14, Glenn moved to Rochester, took a job with Eastman Kodak, and became a Western Union bicycle messenger. Pedaling 140 miles south on weekends to visit Grandma Ruth, he eventually joined a racing team, emerging as the local champion bike racer. Pulling off the road once at a home near Hammondsport for a drink of water, he met Lena Neff, whom he married a few months later and brought back to Grandma Ruth's home.

At age 22, Glenn was turning his

ability to repair anything mechanical into a thriving enterprise, purchasing a Hammondsport bicycle business, designing a new bike labeled the Hercules that was soon outselling established brands with a superior product at a lower price. He became more engrossed in the business with the death of his first child at eleven months in 1902. As he experimented with motorized bikes, he improved on the rough-cast two-cylinder engine he had purchased—with no instruction sheet or carburetor—and built a working motorcycle by creating the missing components out of two tin cans. Realizing that a lighter engine would be preferable, Glenn began making his own engines with maximum horsepower and minimum weight. At that time, Curtiss had not even thought about human flight, but he was developing some of the lightest, fastest, most efficient combustion engines in the world, qualities that would eventually be his trademark on land and in the air. With his motorcycle manufacturing business thriving, in 1903 he became the American Amateur Champion in motorcycle racing.

Birth Pangs of Aviation

On December 8, 1903, a historic event in the history of aviation went unnoticed by Curtiss. Samuel Langley's highly touted Aerodrome crashed in the Potomac in the world's first attempt at powered flight. Langley, a preeminent scholar of aviation at the time and

director of the prestigious Smithsonian Institution, was at the end of a five-year \$50,000 contract with the US War Department to develop a heavier than air flying machine. The failed attempt ended in ridicule and disgrace for Langley, who died two years later without the knowledge that, in 1914, Curtiss would repair the damaged Aerodrome and prove that it was capable of flight. Meanwhile, shrouded in secrecy at their own request, the Wright brothers accomplished the first powered flight at Kitty Hawk just ten days later on December 18, 1903. The Wright Flyer was flown four times that day, twice each by Orville and Wilbur. The first flight covered just 175 feet, and the last one 852 feet. Whereas their hometown *Dayton Journal* initially would not publish details of the flight, the *Virginian Pilot* reported excitedly that the Wrights had flown three miles into a stiff wind. The Wrights declined an invitation at the end of 1903 to address the American Association for the Advancement of Science about their flights, saying, "We are giving neither pictures nor descriptions of machine or methods at present." From the outset, the Wright brothers were determined to procure a patent for their machine in order to profit from the potential commercial benefit of future aviation.

Motorcycle Engines Take to the Skies

Back in Hammondsport, Curtiss and one hundred employees were going full throttle to produce the popular Hercules motorcycle. In the summer of 1904, Californian Captain Thomas Baldwin, aboard his dirigible the *California Arrow* powered by a Curtiss engine, made the first successful powered dirigible flight in the US at the Louisiana Purchase Exposition, a World's Fair in Saint Louis. Baldwin

won the \$100,000 grand prize for the best demonstration of an aircraft, in a competition the Wright brothers had declined to enter. Baldwin was so pleased with the Curtiss engine that he came to Hammondsport, where he ordered many more, soon moving his own production facility to Hammondsport. Baldwin's desire for faster, lighter engines led Curtiss to develop the first V8 engine, designed to power not only a dirigible but also a motorcycle—with which Curtiss would set a new speed record of 136 miles per hour over the one mile course of the World Speed Carnival at Ormond Beach, Florida, in January 1907. In this amazing feat, it took Curtiss a second mile to come to a full stop. His record was not eclipsed for thirty years, as Curtiss—dubbed the Hell Rider—became famous for his innovations with the combustion engine.

In September 1906, Curtiss and the Wright brothers had an unplanned first meeting. Glenn had accompanied Captain Baldwin to Dayton, Ohio for an exhibition of his dirigible, only to see it break away from its mooring. Orville and Wilbur assisted in rescuing the ship and invited Baldwin and Curtiss to spend the evening at their home. They had a pleasant evening discussing aviation and the day's events but were not offered a look at the Wright Flyer which was stored just behind the Wright home.

In January that year, Curtiss had displayed his motorcycle engines at the New York City Auto Show where he had met Alexander Graham Bell, who was impressed with his engines. Bell had built a tetrahedral kite which he hoped to fly under power. In the spring of 1907, Bell purchased a Curtiss engine and paid Curtiss to hand deliver the engine and spend a week with Bell at his summer home and laboratory in

Nova Scotia. In September 1907, with \$20,000 in capital provided by Bell's deaf wife, Bell, Curtiss, and three others with engineering degrees formed the Aerial Experiment Association (AEA) to develop a heavier than air flying machine (aeroplane). Because of his lack of formal education, Curtiss was reluctant at first but was reassured by Bell that his mechanical genius and practical experience with engines made him a valuable member of the team.

Curtiss and the Early Aeroplane

Enthused by this new venture, in December 1907, Curtiss wrote the Wrights about the AEA and offered them his newest V8 engine for free. The Wrights declined and commented to aviation expert Octave Chanute that "an independent solution to the flying problem is at least five years away." They had finally received their patent in December 1905, and were spending most of their time trying to sell their airplane to the War Departments at home and abroad. In May 1908, almost five years after Kitty Hawk, the flight of a Wright Flyer was seen for the first time by a reporter. Meanwhile, the Wright brothers seriously underestimated the ingenuity and determination of the AEA, which had quickly gone to work on their "aerodrome" at Bell's home in Nova Scotia. Under the agreement adopted by the AEA members, their endeavor would last for one year during which time each of the members, working together, would have the opportunity to build and fly an aerodrome.

On December 7, 1907, one of the group, US Army Lt. Thomas Selfridge, glided on Bell's tetrahedral kite for seven minutes at a maximum height of 168 feet. Members of the AEA were certain they could power the kite to fly but, because of accidental damage to the

kite and the onset of severe Canadian weather, they put further work on Bell's kite on hold and moved their endeavor to Hammondsport in January 1908. By March, using the conventional bi-wing design, the AEA produced their first motorized aerodrome, named the *Redwing*, which flew 317 feet. After it crashed on its second flight due to poor lateral control, Bell suggested the use of lateral tips, now known as ailerons, which were incorporated in their second aerodrome, the *White Wing*. On Curtiss's thirtieth birthday, May 18, 1908, he flew the plane one thousand feet.

To no avail, the *Scientific American* and aviation enthusiasts had been trying for years to entice the Wright brothers to give a public exhibition of the Wright Flyer. In 1908, the *Scientific American* Trophy was offered to the first person to make a public flight of an aerodrome exceeding one kilometer. Once again, the Wrights declined. The AEA was eager for the opportunity and on July 4, 1908, in Pleasant Valley, just south of Hammondsport, Glenn Curtiss made aviation history by flying the AEA's third aerodrome, the *June Bug*, farther than the required kilometer. He quickly gained the attention of the entire world and the Wrights, who wrote, not to congratulate Curtiss, but to warn him that further experimentation was allowable only if the aeroplane were not used for profit. The Wrights considered their patent for wing warping to be broad and all inclusive.

While Curtiss was winning what was to be the first of three legs of the *Scientific American* Trophy, Wilbur and Orville Wright were continuing their effort to procure government contracts in the US and abroad. The Wrights' primary competition came from one Augustus Herring, who claimed to hold many patents and had long been a

member of a small, elite circle of aviation experts. Claiming to have two aerodromes ready to compete with the Wrights for the military contracts, he nevertheless failed to present them. Then, two months after the flight of the *June Bug*, the Wright brothers were demonstrating their aeroplane to the Army at Fort Meyer when, ironically, Lt. Selfridge died in a demonstration flight piloted by Orville. Orville was severely injured and took months to recover. Tom Selfridge was the first person in the world to lose his life in an aeroplane. Eleven months later, the Wright brothers finally secured their contract with the US War Department, while the AEA—distracted over the loss of Lt. Selfridge—nevertheless completed its one year commitment to experiment by producing its fourth aerodrome, the *Silver Dart*, which improved on its predecessors by using a water-cooled engine and a wing fabric of rubberized silk. In the first ever flight in Canada, the *Silver Dart* was flown at Bell's home on February 23, 1909.

Just after leaving the AEA and before starting his new company, Curtiss built the *Gold Bug*, a replica of the *June Bug*, under commission from the Aeronautical Society in New York City. It was the first aeroplane sold commercially in the US. Adding to the Wrights' anger, Curtiss flew the *Gold Bug* 24.7 miles nonstop over a circular course on Long Island, making him the winner of the second leg of the *Scientific American* Trophy, the nation's most prestigious aviation award. The Wright brothers responded with a series of lawsuits which haunted Curtiss for the rest of his life. In August 1909, with the encouragement of the Aero Club, Curtiss was the only American to enter the race for the world championship Gordon Bennett Trophy at Rheims, France, attended by

500,000 people from all over the world. He built a new plane called the *Rheims Racer*, which was powered by a 50-horsepower engine, in which he competed against the best in the world, including the Frenchman Bleriot who had recently dazzled the world by flying across the English Channel. The Wright brothers, who were in Germany seeking a contract with the German government, declined to fly themselves but entered three of their aeroplanes. Bleriot, the heavy favorite with a stable of five planes with 80-horsepower engines and a huge support crew, along with all the other competitors, were defeated by Curtiss with one assistant and a plane he had never flown prior to the meet. He flew the course in just under 16 minutes averaging 46.5 miles per hour. Proclaimed "champion aviator of the world" and "fastest man of the earth and skies" by the international media, the shy Glenn Curtiss became a world hero and celebrity.

A Period of Turbulence

Curtiss then made the worst business decision of his life. Wooed by Augustus Herring, who agreed to supply cash and all of his patents, Curtiss and other investors from the Aero Club of America went into the business of manufacturing aeroplanes in Hammondsport with the formation of the Herring-Curtiss Company on March 3, 1909. In the end, Herring would continue his previous pattern of deception, ultimately producing only \$650 in cash and no patents. In November, the Wright Company was incorporated with backing from JP Morgan, Cornelius Vanderbilt, and other wealthy investors. Wilbur and Orville received \$100,000, one third of the stock, and 10% on each plane sold.

Just two months later, in January 1910, US District Court Judge John

Hazel granted the Wright brothers a preliminary injunction prohibiting Curtiss from selling or exhibiting aeroplanes. As if things weren't bad enough, Curtiss and the other investors in his company discovered that Herring was a fraud. Herring was ousted, but the company went bankrupt since the injunction prevented it from generating income. In desperation, Curtiss traveled to Dayton to try to settle with Orville and Wilbur. They would take nothing less than 20% of past and future profits resulting from the exhibition or production of aeroplanes. Shortly thereafter, on a visit to New York City, Curtiss was approached by a sympathetic Henry Ford who offered legal counsel, but Curtiss declined the offer. His luck turned a year later, in April 1911, when Curtiss was finally allowed to post bond and continue working, his spirits buoyed even more by the birth of his second child, Glenn Jr.

Curtiss Clinches a Prize

With excitement at its peak over the possibilities for aviation, in 1911 the *New York World* offered a prize of \$10,000 to anyone capable of completing the 156-mile flight between New York City and Albany, allowing one stop for refueling along the way. The route, which was mostly above the Hudson River, was treacherous, with strong, gusty winds. For his *Albany Flier*, Curtiss built his best engine yet and devised pontoons for the craft in the event of an emergency landing over water. On May 11, 1911, averaging 55 miles per hour, he flew from Albany to a field near Poughkeepsie where he replenished his oil and fuel. With oil depleted 137 miles into the trip, he made an emergency landing within the city limits in the front yard of a large estate where he borrowed oil and took off

again, circling Manhattan and the Statue of Liberty by noon. In addition to the monetary prize, *Scientific American* awarded Curtiss the third and last leg of its famous trophy for so great an accomplishment.

From 1911 to 1914, Curtiss developed a keen interest in flying from water, eventually earning the title "father of naval aviation." Dividing his time between Hammondsport in the summer and San Diego in the winter, he developed pontoons, seaplanes, and flying boats. He trained exhibition and Navy pilots, and was the first person to develop the apparatus and procedure for landing on and taking off from a Navy vessel. As the importance of naval aviation was becoming apparent, Curtiss began work on his dual engine flying boat called the *America*, which he intended for the first ever transatlantic flight. He was the first to design retractable landing gear and he worked with Sperry to develop the gyroscopic automatic stabilizer for airplanes. His work gained him widespread praise; in 1911, Curtiss won the Aero Club's newly established Collier Trophy for the highest award in aviation and, two years later, he was awarded the Langley Medal by the Smithsonian.

More Turbulence

This period of productivity was marred only by the death of Wilbur Wright in 1912, due to typhoid fever. To his death, Orville blamed Curtiss for his brother's demise, claiming that the long legal battle suppressed Wilbur's immune system, making him unable to respond to the infection. Orville responded by escalating the legal battle against Curtiss. Although most experts in aviation felt Curtiss would prevail in court, in June 1914, a US Circuit Court Judge upheld Judge Hazel's decision, again prohibiting Curtiss from exhibiting

As he experimented with motorized bikes, he improved on the rough-cast two-cylinder engine...and built a working motorcycle by creating the missing components out of two tin cans.

or producing airplanes for profit. Overseas, the German Supreme Court had acknowledged Wright's wing warping patent in 1913, but denied the exclusive rights. When Wright filed a new suit against Curtiss in November 1914, Curtiss finally gave in and accepted the assistance of Benton Crisp, Ford's legal counsel. "Patents," Ford said, "should be used to protect the inventor, not to hold back progress."

Out of business again, Curtiss considered moving his company to Canada but really did not want to leave. He was recharged by a request from the Smithsonian to refurbish and fly Langley's Aerodrome which had been in storage for eleven years since its failed flight in 1903. Using the same engine and materials but a different method of launching, Curtiss was successful, whereupon the Smithsonian pronounced Langley's Aerodrome the first machine capable of flight. That incensed Orville Wright. He refused requests to display his Wright Flyer at the Smithsonian until 1948, and only then after an apology from the Museum and with the provision that the Flyer would, in perpetuity, be displayed in a location higher than any other flying machine. In October 1915, Wright sold his company for 1.5 million dollars and an annual consulting fee of \$25,000.

A New Start in WWI

Unable to manufacture airplanes for profit, Curtiss continued working on a plane for transatlantic flight while training both civilian and naval pilots. He also developed the Curtiss JN or “Jenny” which soon became famous as a trainer. Although Curtiss’s quest for transatlantic flight was interrupted by World War I, the war freed him from his legal morass and advanced the cause of aviation around the world. Both Europe and the US needed planes quickly. With pressure from the government, all patents were pooled and a cross licensing agreement was formulated, allowing Curtiss to begin production again. Orders came in so quickly from home and abroad that Curtiss moved his primary manufacturing facility to Buffalo and built three more in other locations with a total work force exceeding 20,000. He produced over 6,000 Jennies which were used to train the majority of the 10,000 American wartime pilots.

The *America*, Curtiss’s flying boat, was purchased by the British and was the only plane to see combat in World War I, patrolling the English Channel and sinking three German U boats. *America*’s successor, the NC4 (Navy-Curtiss) made the first transatlantic flight May 27, 1919. By this time, Curtiss was becoming less involved in his company, spending more time in Florida hunting, fishing, creating travel trailers, and developing real estate. Then in 1929, the Curtiss Airplane Company merged with Wright’s to form the Curtiss-Wright Corporation valued at 220 million dollars, and putting the stronger company’s name first—possibly another affront to Orville Wright’s pride. Curtiss’ success was short-lived, however, as the next year he survived an appendectomy only to die suddenly four days later at the young age of 52

from a pulmonary embolus. Two thousand people attended his funeral in Hammondsport.

Conclusion

Seth Shulman, in his book *Unlocking the Sky*, summed up Curtiss and the Wright brothers well when he wrote: “At its core, the long, bitter fight between Glenn Curtiss and the Wright brothers pitted the virtues of open, shared access to innovation against the driving economic pressure for monopoly ownership, a debate that resonates through the years. Having accomplished a tremendous breakthrough in aviation, Wilbur and Orville Wright tried to control the development of the airplane in its first decade through patents and aggressive business tactics. Ultimately, their effort would fail” (223). Orville Wright never piloted a plane after 1914, or even flew in one after 1918. When his sister Katharine, with whom he lived most of his life in Dayton, married at age 52, Orville refused to attend her wedding and did not visit until near her untimely death three years later. Wright’s life in his Hawthorn Hill mansion became progressively more reclusive.

In contrast to the Wrights’ drive for profit, concluded Seth Shulman, “Glenn Hammond Curtiss was generous in permitting anyone to use the principles underlying his invention—a strategy that enormously benefited the emerging industry. Unlike the Wrights, Curtiss believed his inventions and products should succeed or fail in the marketplace on their own merit. This, ultimately, is the way he would have wanted his career to be judged, and it is how it should be judged: by the lasting, unrivaled success of the aeronautical inventions he created” (*Unlocking the Sky*, 223-24).

As a young man growing up in

Ohio, I was very familiar with the legendary achievements of the Wright brothers, but I never heard of Glenn Curtiss. Even as an Elmira resident for the past 35 years, I have driven through Pleasant Valley simply knowing that Curtiss was someone special but little more. Now that I have learned more, I realize what a giant he was in the first two decades of the twentieth century and how little we recognize his accomplishments today. A visit to the Curtiss Museum just south of Hammondsport is well worth the time. If one drives one mile south on Route 54 and looks skyward, one can see the one kilometer that Curtiss traversed in his historic flight aboard the *June Bug* on July 4, 1908. At the end of that mile through Pleasant Valley, the cemetery on the right contains the simple, yet beautiful granite gravestone symbolic of the shy, simple man whose determination and mechanical genius contributed so much to the development of early aviation.

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Needed: An American Health Care System

Americans, who seem bent on generating illness, need an affordable health care system with prevention, rather than cure, as its priority.

By S. Samuel Shermis, Ph.D.



About the Author

S. Samuel Shermis received his B.A. from California State University in 1955, and both his M.S. Ed. (in 1960) and his Ph.D. (in 1961) from the University of Kansas. His entire life was spent in teaching—from junior high school, to female prisoners, to post docs—and research. His most recent publications were on Benedict Spinoza. He is currently teaching adults in the University of North Carolina's Division of Creative Retirement. This article developed out of a two-year research project with a professional nutritionist for a contest designed to suggest innovations for our health care system.

Presented to the Asheville-Blue Ridge Torch Club on May 3, 2007.



This society needs an American health care system because what we now have is not a system and not about health. A few years ago we spent \$2.26 trillion on health care, which is more per capita than any other nation in the world. And for this we received what? As measured by the usual criteria—infant mortality, longevity, satisfaction, we are somewhere near the bottom, according to award-winning journalists Donald L. Barlett and James B. Steele (*Time*, October 11, 2004) and an increasing number of other observers.

Defining the Problem

Taken with a grain of salt, a brief history and description of our health care practices will be more intelligible. Let us

go back to when our parents and grandparents were alive. Medicine then was delightfully simple, with no worries about overuse of antibiotics, for there were none. There was Ol' Doc. But Ol' Doc couldn't help you if you were really sick. He could only give of himself, a precious medicine, frequently lacking today. Penicillin, discovered accidentally by Alexander Fleming, was first used on a large scale during WWII, and soon an increasing number of antibiotics were used for every illness under the sun, without concern for the warning of Sir Alexander Fleming back in 1942 that overuse of penicillin would lead to mutations and therefore the growth of resistant pathogens which today, 65 years later, no antibiotic can touch. Drugs with the sulfanilamide molecular structure didn't come along until 1932. Twenty years later, Albert Sabin and Jonas Salk together discovered the attenuated and the killed virus that would change poliomyelitis from a dreadful scourge into merely a bad memory. We had made a real start on curing previously lethal illnesses.

WWII advanced surgery and the technology of healing, and launched the Veterans' Administration that would relieve the pain and suffering from WWII, the Korean War, the Vietnam War, and now the Iraq War. In 1942 Henry J. Kaiser decided that it would be both efficient and a boost to workers' morale at the Kaiser Permanente gravel works if he offered health insurance. He followed up with what became a gigantic hospital complex known as the Kaiser Permanente Health Plan, which became the model for about thirty-seven different Federal and state government insurance

plans. Eventually Congress passed Medicare for senior citizens and Medicaid for the very poor. We now had our American Health Plan. Well, not quite. Soon after Medicare was adopted it proved financially inadequate to pay for treatment, surgical procedures, and medication. So we figured out that it would be better if we had supplemental insurance. Paradoxically, though our taxes were paying for a health plan, we weren't getting one. Hundreds of health insurance companies offered thousands of supplemental plans which had the predictable effect of doubling or tripling the paperwork for physicians, hospitals, and others in the Health Care System. This system lost any transparency it may have had, issuing a confusing array of pamphlets, articles, and books, including a "summary" of medical finance containing 555 pages.

Why are laypersons and experts alike unable to understand the charges and cost of any medical or surgical procedure—especially hospital costs? Because those with certain health insurance plans are overcharged for services to make up for the fact that those who have no health insurance—estimated variously between 43 million and 47 million persons—receive their services at no cost. An estimated eight million of this latter group are children. There is no rational basis for either the cost or the charges of hospitals. This is what is meant, in part, by "lack of transparency." Children and adults—increasingly, thanks to our deteriorating economic condition—are forced to use emergency rooms for non-emergency situations. From the *Asheville Citizen-Times* of October 25, 2008:

In Dallas last month, Amber Joy Milbrodt, who said she broke a bone in her leg while playing volleyball, went to the ER at Parkland Memorial Hospital on September 24. She waited 19 hours and never saw a doctor, but she still received a bill for \$162 because she saw a nurse for assessment. Milbrodt has no insurance, so she has no regular physician. She said she is not paying the bill.

ERs crammed with uninsured patients leave little time for patients who should be seeing primary care physicians. Consequently, patients tend to put off seeking any sort of medical care until their symptoms become serious—often untreatable. When the estimated 15% of the under- or uninsured persons in this country become seriously ill, they can try for state aid or accept the fragmented, inadequate, unsystematic health care at ERs that no one reading this *Torch* article would remotely consider acceptable. (For an examination of the role played by ideology in the health care issue, see Paul Krugman, “A Private Obsession,” *New York Times*, November 5, 2005, Opinion, p.29.) The multitudes have begun to murmur. Horror stories about doctor and hospital costs, inadequate treatment, protracted quarrels with HMOs, inaccurate diagnoses, pricey medications, medical interactions, and the aforementioned medical bureaucracy have finally reached a point where they have become a political problem. Both presidential candidates had plans to deal with these problems—neither, in my opinion, adequate. But the point is that the political system has finally decided to provide a total solution to a so-far insoluble medical problem. Given the fact that both political parties have begun to think that our health care system is broken, there very likely will soon be a functional one.

How does our system compare with that of other modernized, industrialized, democracies? Let me start with a quotation from *Time* magazine, which some call leftist:

*Americans are burdened with a costly, hugely dysfunctional health-care system; we spend more money than anyone else in the world—and yet have less to show for it than any other of the developed countries. We don't adequately cover half the population. (Barlett and Steele, *Time*, op. cit.)*

Time then lists criticisms that have been made for decades:

- Our mortality rate is either the same or worse than that of other countries with real choice.
- There is a huge discrepancy between the health care options of the poor and the affluent.
- The system is confusing—to those in it and those who make use of it.
- Provision for primary care is weak because physicians-in-training opt for the better paid specialties.

Medicare, Medicaid, State Plans, and Private Plans

Medicare is perhaps the most important national health medical plan, something for those of retirement age who can be expected to have more frequent and more expensive illnesses. Medicare is paired with Medicaid, a plan for those who are below the poverty line. Some states have their own version of Medicaid; e.g., Medical, for the Great State of California. But there is a hitch. Both states and employers with health insurance policies for their workers discovered that they were spending more and more of their budgets on health care for the poor. The cure? Revise the definition of poverty so that it immediately throws hundreds of thousands out of health care-for-the-poor programs. There are other ways of

lowering health costs for employers and governments. For insurance, premiums have steadily increased as have exemptions. Insurance companies have in effect engaged in cherrypicking, covering the healthy and finding ways of excluding those with “pre-existing conditions.” Health insurance promises to become even more inequitable. Journals are now publishing articles about potential unintended effects of human genome research. Why? Insurance companies, it is speculated, will refuse to cover those with *genetic predispositions* to costly medical problems. This proposal is a source of shock and despair to congressmen, physicians, scientists, and laypersons, for it is not only a transparent attempt to purge those with genetic potentialities, it is an unscientific form of hereditary determinism.

In the minds of many experts Medicare, overall, has worked well. Administrative costs come to about 2%, which is vastly less than the private sector charges. Medicare writes about a million prescriptions a day. It does not, however, pay what physicians and hospitals consider a fair amount, thus requiring patients to purchase supplementary insurance. President Bush's attempt four years ago to improve Medicare's drug plan eventually worked out well for some; one couple that had been paying \$25,000 now pays \$4,900. They required the persistent help of a specially trained counselor in Oklahoma, where beneficiaries chose from 43 prescription drug plans with premiums ranging from \$10.07 to \$70.79 a month, different co-payments, and very different formularies; that is, official lists of covered medications. To reiterate: this is not transparency; it is opacity and generates a sense of confusion and helplessness. Nevertheless, Medicare has worked—using increase in longevity as a criterion of measurement. Since 1960, life expectancy rose from 70 to

77 years, partly because of insuring the oldest and most vulnerable portion of the population. (For an opposite point of view, see Robert J. Samuelson, "The Medicare Monster," *The Washington Post*, September 14, 2007.)

Many changes are being contemplated to include more children in Medicare. For instance, the North Carolina Council of Churches working with Blue Cross/Blue Shield wants to pass H1476 Health Insurance for All Children to insure 87,000 not now covered. The mechanics of this legislation are so complicated, the establishment of premium costs and the definition of FPL (Federal Poverty Level) left me close to terminal confusion. An expert strongly implied to me that insuring children is important but that the hidden agenda is to prepare the way for expanding Medicare. Insure children first and then try to insure all others. This undermines a laudable goal. If our philosophy is that health care is a right, we should not put ourselves in the position of putting off insuring *this* population in order to serve *that* population.

Costs: An Example

We may well be creating a brand new demographic category: the middle class poor. This refers to ordinary, card-carrying members of the middle class who discover that they cannot afford health insurance. (Stephanie Strom, "For Middle Class, Health Insurance Becomes a Luxury," *New York Times*, November 16, 2003, National, p.16.) Our own family pays \$739 per month for health and nursing care insurance because, like many of you, we know that our Medicare won't come close to paying for physicians, tests, surgical procedures, nursing care, etc., and co-pays are slowly creeping up. A typical family of four pays slightly less than \$1,000 a month for medical insurance. Aware of the increasingly rapid transition

*It is long past time
when we must ask,
Do we want a different
kind of health system,
and if we do, what kind,
and what ought to be
its primary goal?*

of Baby Boomers into retirement, the government has generated plans to shift costs to individuals and private insurers. This has not yet happened—to the extent that the previous (Bush) administration desired. But future attempts will precipitate the growth of yet another inequitable phenomenon: individuals who may be real-estate rich but cash-poor, and yet have no effect on the overarching goal of this democratic society: providing all Americans with a health care plan as a right—just as much a right as education, police protection, and school lunches for the economically deprived.

HMOs and Big Pharma

Employers discovered that they were laying out too much money on health care so, at their prompting, HMOs (Health Maintenance Organizations) were introduced into the mix. HMOs did reduce employee cost. But they also generated many complaints. HMOs were concerned, it was alleged, primarily with efficiency and saving money for employers. Health care for workers became the victim. So some HMOs changed their MOs in a variety of ways. They lowered the price of health services to employers who carried health insurance for their employees, but at a severe cost in quality. Economists appear to agree that tightfisted managed care policies have helped keep costs under

control. At the same time, HMOs deprived individuals of the medical services they deserved. And they forced thousands into the most frustrating experience of their lives: being caught between courts, physicians and hospitals, and HMOs month after month. Since HMOs tie health insurance premiums to employment, any variation in employment with employers who offer health insurance as a benefit means a spike in cost for those without health insurance. A book review critical of HMOs, still relevant after ten years, is Helen Darling's "Are HMOs Really Dangerous to Your Health?" *Health Affairs*, July-August 1997.

The cost to manufacture a drug has no relationship with the price charged by the pharmaceutical corporation—now often abbreviated as Big Pharma. Drugs which cost a dollar or two to produce might cost the ultimate consumer anywhere from two dollars to several hundred times more than the production cost. The cholesterol-lowering medication, Lipitor, cost my family \$165 a month, of which insurance pays \$82. I am required to take a number of medications which set us back roughly this same amount. Medications for depression, heart disease, and diabetes—the most common diseases among seniors—are among the most expensive drugs on the market. The pharmaceutical corporations must charge that amount to make up for the enormous—and perhaps bloated—cost of research. The single most expensive cost for Big Pharma is not R and D; it is advertising and promotion. Further, what is both indefensible and irrational is that while the VA can negotiate drug prices, Medicare is forbidden by law to do so. Individual states, to the distress of Big Pharma, HMOs, and some congressmen, are beginning to experiment with innovative medical plans. (See Janice Steinhauer, "Big Overhaul of Health Care is Sought in

California,” *New York Times*, January 8, 2007.)

Six years ago, the health care industry spent \$325,000,000 to lobby Congress and sundry federal agencies. Of this amount, drug companies led the way with \$86.9 million, followed by hospitals with \$55 million and physicians with \$35.4 million. Spending this has paid off handsomely—at least for some in the health care industry. It also expands the bureaucracy, distorts the process of equity in the delivery of health care, and raises costs. ([American Health Care Reform.org](http://AmericanHealthCareReform.org), April 19, 2007; see also Robert Pear, “Medicare Law Prompts a Rush for Lobbyists,” *New York Times*, August 23, 2005.)

More Examples of Statistical Obfuscation and Complexity

An example of statistical obfuscation appeared in our city’s daily newspaper, which reported that last year a state Health and Human Services administrator failed to deliver reports that would have identified gaps in public mental health services and how the state should pay for them. What happened? The director of the State Division of Mental Health, Developmental Disabilities and Substance Abuse services said that his staff found “significant errors in reports prepared by an outside consultant.” The director continued: “What we saw in the final draft was clearly inconsistent with the information we gave her.” (Kerra L Bolton, “Health Services Reports Delayed,” in the December 7, 2006 *Asheville Citizen Times*.) This surprises me not at all. What a research colleague and I found a few years back was that one rarely could know: a) how any particular fiscal data was gathered, b) what kind of statistical massage was done, or c) how the fiscal data were interpreted. Although it was surely not meant as such by the American Association of Health Plans, the

following, entitled “Tips for Choosing a Health Plan” struck me as distinctly droll (Robert Pear, “For Some Who Solve Puzzles, Medicare Drug Plan Pays Off,” *The New York Times*, March 26, 2006):

- Find out co-pay requirements
 - See whether your current doctor is covered on the plan you are considering
 - Determine the plan’s restrictions
 - Get the insurance company’s rating.
- These are rational suggestions. But for most readers of this journal, answering these questions would require a few days and the assistance of trained experts. Thanks to fine print, exemptions, deliberate obfuscation, sixteenth century syntax, legalese, and changing requirements, most of us are capable neither of obtaining this information nor of making sense of it.

Mental Illness

Three years after the original research out of which this article grew, states and the Federal government are still unable to deal with issues of mental health, but our society and its representatives can no longer put up with the inhumane treatment of those designated mentally ill, a category that is often indistinguishable from those designated as criminal. How did I learn this, outside of the increasing amount of research on this topic that is being published? (Bernard E. Harcourt, “The Mentally Ill Behind Bars,” *The New York Times*, January 27, 2005.) Probably when I taught female inmates at a women’s prison. I couldn’t understand the behavior of one of my students, supposedly working on a GED, but changing behavior from day to day. When I asked the desk officer about this, she lowered her voice and told me that the young lady had been diagnosed with multiple personalities. I don’t doubt that most of my students were drop-outs, addicted, and victims of sexual, physical

or mental abuse. What I do question is, what makes the State of North Carolina believe that her basic problem is criminal and not psychological? What makes any state believe that, given the estimate of a 75% recidivism rate, incarceration will produce socially desirable results? According to a study released by the Justice Department in 2007, 56 percent of inmates in state prisons and 64 percent of inmates across the country reported mental health problems within the past year. Turning our prisons into mental health centers does not lower crime and does not deal with mental illness. But it does paint a picture of self-defeating public policy at a national level.

Degenerating Health: How We Are Doing It To Ourselves

To conclude, what does this society do that generates illness? Three inter-related factors have relatively accelerated our mortality rate and intensified such chronic illnesses as cancer, heart disease, diabetes, skeletal problems, and obesity. I have not lived anywhere in the world that so efficiently combines these three related killers: **steadily increasing stress, a wretched diet, and a low level of physical activity.** Much stress arises out of our competitive culture—the work schedules of professionals who work 70+ hours a week, or of two persons who discover that one salary in the service economy won’t pay for the mortgage, food, and clothing, forcing both to work. With little time for cooking nutritious food, many turn to inexpensive fast-food restaurants. A nutritionist and research colleague is fond of saying: **cheap foods make for expensive illnesses.**

Overwork is only one form of job-related stress. An equally serious form is resentment against authoritarian workplaces. For decades experts in managerial problems have warned us that top-down authoritarianism turns worker against manager and worker

against worker. Having to work in an atmosphere where there is constant anxiety over failure to make goals that come from above, fear of demotion, and fear of losing one's job turns the work environment into a constant stressor. It is fairly clear that not only does stress aggravate all medical problems, it also fosters its own form of illness. Our society generates unremitting stress. If we do not create enough job stress, we produce other varieties. Young people are under constant pressure to make high grades, do well on nationally standardized tests, and be "popular." This pattern continues at the university level, which prompted me to wonder, while I was still teaching at a large university, if perhaps this accounts for so much binge drinking on weekends. While people are working harder than ever, opportunities to deal with stress through exercise or noncompetitive games are replaced by lying on the couch watching overpaid teams knock themselves and each other out competing for a title.

The Industrial Revolution

Some time around 1740, inventors grasped a truly brilliant opportunity to connect steam power to a wide variety of machines hitherto powered by water, human, or animal energy, to make and market more products at a lower price. The problem was that the Industrial Revolution also created molecules that could not be absorbed by humans, animals, fish, plants, air, or soil. From painter's colic—deriving from the lead put into paint—to a range of respiratory diseases caused by fossil fuels, we surrounded ourselves with an environment of molecules whose impact on health we did not understand or, which we began to discover very slowly, was poisonous. We have yet to decide whether it is better to be healthy or to enjoy cheap and plentiful gasoline, which generates respiratory ailments while simultaneously enriching oil companies.

Conclusion

For a century and a half, we have created a national health plan which is less about health than it is about profit for the medical and pharmaceutical industries. We have created a disease-ridden environment. We have created a stressful workplace as well as stress-ridden educational institutions. We do not accept that health is a right, rather than something that is yours if you can afford it. We have created a set of institutions to cure health problems once acquired—rather than prevent them. We gobble down excess amounts of food that guarantees diabetes, cancer, joint diseases, cardiac problems, and a few other illnesses. We do not believe that it is our collective responsibility to lead healthy lives, and this, in large part, creates our American Sickness Plan. Yes, our medical research is among the world's finest. Our hospitals are incomparable. However, by themselves, these have proven to be inadequate. It is long past time when we must ask, Do we want a different kind of health system, and if we do, what kind, and what ought to be its primary goal?

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The Toucan and the Eagle: Why Is Brazil Poor and the US Rich?

Aggressive political reform and an upgraded economy are necessary to make Brazil's longed-for future a reality.

By Mark Lore



About the Author

Mark Lore joined the Foreign Service in 1965, with postings in South America, Africa, and Europe. He earned an M.A. in Economics from the University of Wisconsin 1979 and was appointed Deputy Chief of Mission (DCM) in Embassy Brasilia in 1992, serving also at times as Charge d' Affaires. After a final assignment teaching at the Naval War College, he retired in 1997. He lectures occasionally at the Foreign Service Institute and is active in community affairs in Winchester including social action, downtown revitalization, and running a local film society. He was winner of the IATC Paxton Award in 2003 and the chapter's President's Best Paper Award in 2007.

Presented to the Winchester Torch Club on June 6, 2007.

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The Problem

"O Brasil, O Pais do Futuro—E Sempre Sera!"; "Brazil, the country of the future—and always will be!" This is the way good humored Brazilians express their frustration that their huge land—larger than the continental United States—has never done as well economically as their neighbor to the north. Per capita income is only one-fifth that of the US—and even this masks a disparity of incomes within Brazil that is one of the worst in the

world. By many other common measures—industrial output, infrastructure, literacy, infant mortality, and longevity—Brazil's population of 185 million badly trails the US.

Why should this be? Beyond our continental-size proportions, Brazil and the US have much in common. We are both blessed with abundant natural resources. We are both lands of immigrants, waves of new arrivals from abroad bringing both essential skills and a rich cultural mix. We each endured a catastrophic nineteenth century war—theirs was the ruinous War of the Triple Alliance which began as our Civil War was ending. But we have both been otherwise relatively untouched for much of our history by the constant state-on-state violence that roiled Europe and Asia over the past 200 years. In fact, if in the 1800s you were handicapping prospects for economic development, you might have chosen Brazil over the United States. Settlement began there in the early 1500s much before it did in North America; the Portuguese had founded and had built their first capital of Salvador in 1549—over half a century before John Smith set foot ashore in Jamestown.

Also, the transition from colonial status was far more benign. It began, curiously, in 1807 as Napoleon's troops were bearing down on Lisbon. Aided by the British, the Portuguese royal family undertook what has to be history's most spectacular political evacuation. It must have been quite a

sight. The Prince Regent Dom Joao and his demented mother Queen Maria led about 15,000 members of the Portuguese elite and government servants aboard a huge fleet of some 50 vessels and—just like that—moved the seat of the empire to Brazil. They moved everything—the presses to print the currency, the state archives, the national library—everything. This was the only time in history when, in effect, a colony and its home metropolis switched places. It effectively prepared the way for Brazil's *formal* and peaceful declaration of independence from Portugal in 1822—followed by sixty-seven years of stable, monarchical rule under one branch of the Portuguese House of Braganca. Over the same period, Brazilian slavery came to an end, not through the cataclysmic shock of our civil war but through a much longer, gradual and mostly non-violent process.

So we have in Brazil a longer history of settlement—as well as one markedly less turbulent and violent than our own. How is it that development proceeded so differently? Might we perhaps gain some general insight from examining the differences as well as the similarities between these two great nations? This is a subject that has interested me for many years. I devoted more than half of my 32 years in the Foreign Service to Brazil and the wider Lusophone (Portuguese-speaking) world. Therefore, let me set down some of the possible reasons why most

Brazilians are not—and are not even close to being—as rich as Americans. In doing so, I am particularly indebted to the path-breaking study of Brazil vs. US development patterns, “Bandeirantes and Pioneers” by the Brazilian sociologist Vianna Moog, as well as John De Witt’s short volume entitled “Early Globalization and the Economic Development of the United States and Brazil.”

My paper will focus largely on developments in Brazil’s early history that shaped its civic culture. Understand, this culture is in many ways an admirable one: Brazil is a fascinating blend of peoples and traditions that has enriched Western civilization. Its music, literature, and art are proof of this. Brazil today also boasts major technical accomplishments, whether in agronomy, in deep water oil drilling, in the treatment of AIDS, or in the development of bio-fuels. All of which reinforces the central question: why has a people so talented failed to provide a better life for so many of its citizens? The analysis falls into two parts, physical differences and geopolitical differences.

Physical Differences

We will first consider physical differences, looking at the topography, hydrography, and climate of Brazil in contrast to the same factors in the US.

- Topography: We in America talk of coming from the east “over the mountain” into the Shenandoah Valley. But let’s admit that the Blue Ridge and even the Appalachians did not pose a great challenge to early travelers. Contrast this with the huge massif that runs along Brazil’s Atlantic coast, rising up from the sea to summits as high as 2600 feet. This *Serra do Mar* limited most settlement in Brazil until the late 1800s to a strip of twenty miles across or less (Brazilians still joke about themselves as “being like

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place once and if these
two big birds can
fly together.*

crabs...clinging to the coast”).

- Hydrography: Brazil has few of the freely navigable rivers such as the Mississippi, the Hudson or the St. Lawrence that opened the U.S. for development. Yes, in the Amazon, the Parana and the Sao Francisco, Brazil has three great waterways – but they were all far from zones of initial settlement. They are also either interrupted by great falls and rapids or located in the most oppressive tropical regions of the country.

- Climate: European settlers in North America encountered climatic conditions similar to those at home. By contrast, the Portuguese settler in Brazil had to deal with what Vianna Moog calls “a world completely strange to him.” The long-term effects were not only those of enervation. The Inter-American Bank study, “Is Geography Destiny?,” cites also the very heavy burden of disease exacted upon human beings

living in a tropical climate—for example, the fact that disease-bearing vectors will breed and multiply all through the year. Such phenomena had dramatic effects on rates of mortality and morbidity in the sixteenth through the nineteenth centuries.

Given these factors, it is not surprising that the common (if somewhat romanticized) pattern of settlement in North America—settler families moving into the interior, tilling the land, setting down the political and legal foundations of civic institutions—did not occur in Brazil. There, the only souls willing to brave the elements in the interior were predatory adventurers—“bandeirantes” in Portuguese—who sought quick riches from enslaving indigenous peoples to work on the coastal sugar plantations (“The Mission,” a Robert De Niro film of some years back, captures some of this). The bandeirantes’ excursions essentially established the borders of present day Brazil, but without yielding any sort of Jeffersonian collective ideal—much less popular enthusiasm—for life in the rural interior.

This is why a recent book, *Is Geography Destiny?* cites Brazil’s “astonishing geographic diversity” as a major cause of its historical difficulties. The study employs what it calls an “Index of Geographical Fragmentation of a Population.” This index measures the probability that two individuals taken at random from a population will not belong to the same group—or, in this case, will not live in similar eco-zones. This index is important, to quote the authors, “...because many social and economic cleavages have geographical underpinnings.” An inhabitant of the Brazilian Northeast which suffers from periodic serious droughts will have little in common with settlers in the Amazon rainforest—and both will live completely different lives than residents

in the temperate regions of southern Brazil. Given such disparities, it is no wonder that the presidency of Brazil is often called the toughest political job in the world. Jared Diamond, in his Pulitzer Prize winning “Guns, Germs and Steel,” echoes the same argument. He refers to Latin America’s “extreme north-south diffusion” across a wide spread of latitudes. “In contrast to Eurasia’s consistent east-west breadth,” Diamond writes, “...the Americas were more fragmented by areas unsuitable for food production or for dense human populations.”

Geopolitical Differences

Let’s accept, then, that the physical demands of settling Brazil were substantially more than they were in the North American colonies. To this, we can add several geopolitical factors that channeled and constrained development.

- From the beginning until recent times, Brazil’s development has been largely in the hands of others. The sixteenth century sugar boom, financed and essentially controlled by Dutch traders, created from the start a patrimonial class of idle Portuguese landlords with little will or ability to spread their riches into other areas. Later, as Portugal evolved in the eighteenth century into a virtual dependency of Great Britain, Brazil’s gold boom of that period served mostly to fill England’s treasury in the run-up to the Napoleonic Wars.

- In these early days, a pattern of internal political and economic power was established that has lasted, to some degree, down to the present day. Politically, the Portuguese crown acted as the supreme patron, micromanaging the economy in terms of licensing, granting monopoly rights, taxing power, etc. It operated hand-in-glove with an economic ruling class consisting entirely

of large landowners. Brazil never had a New England. There was no real industrial revolution in Brazil until the 1940s (and then, only with substantial state direction and control). Conjure up the plantation economy of the American south, with its patriarchal traditions, reliance on export markets, and small market for free labor, and you have something very close to Brazil, at least until after World War II.

- This long-lived plantation economy—first predominantly sugar, then tobacco, cotton, rubber, and coffee—allowed the planters to dominate the country’s politics into the mid-twentieth century. The planters’ interest was clear; they wanted secure sea lanes, overseas markets for their commodity exports, and low import tariffs. This fit well with Great Britain’s nineteenth century aspirations to make Brazil a commercial vassal (ironically, Brazil in a sense wound up assuming the role that the thirteen North American colonies had rejected).

- British control of Brazilian trade in the nineteenth century relegated Brazil’s international trade for many generations to what De Witt calls the “South Atlantic Circulatory System”—a system based essentially on monocultural agriculture and the slave trade. It was quite a poor cousin of the much richer North Atlantic system, which also traded substantial small farm production for industrial and consumer goods. Brazil’s nineteenth century economy of plantation production and low import tariffs left little room for small farmers. Without small farms, a viable rural and town-based middle class failed to develop. Without creation of a middle class, Brazil’s internal market failed to grow in a way that could have served to help develop an independent commercial and industrial sector.

The result was that no Brazilian Alexander Hamilton emerged to spur

the development of local industry. There was no Whig party to press for the building of national infrastructure, especially roads and railroads. Of course, the topographical barriers cited earlier would have made this a measurably greater task than it was in the US—but as it was, a true national transportation infrastructure never really got on the national agenda in Brazil. Brazil still has only 18,000 miles of rail, 13% that of the US, and its mere 60,000 miles of mostly narrow, dangerous highways represent a serious constraint on the country’s growth.

Some Conclusions

What might we conclude from all this? Well, one lesson might be that the physical conditions and constraints imposed by a country’s geography matter—that development is not simply a matter of culture or religion or of getting your institutions and policies right. Another might be that stability is overrated. Brazil’s long, fairly placid and seamless history over some 450 years failed to challenge its entrenched, increasingly antiquated system in the way that US society was tested at least twice: after our revolution, and then during and after the Civil War.

When major change finally did come to Brazil in the 1940s and 1950s with industrialization and broadening of the electoral franchise, it ushered in a period of profound political and economic instability that lasted over thirty years. Today, that phase appears to be behind us. Brazil is a very different place from the country that I first served in over forty years ago. Agribusiness has replaced the old plantations. Brazil is a world leader in the export of many differentiated food products, as well as in development of sugar-based ethanol. Its modern industrial sector, based largely around the mega city of Sao Paulo, boasts a number of niche

products such as short-haul aircraft (Brazil is the fourth largest producer of civil aircraft in the world). Economically, the 1980s Brazil of hyperinflation and the debt crisis is no more—under its current left-wing president, Luis Inacio Lula da Silva, Brazil is paying its bills, inflation is in single digits, and the country is the darling of Wall Street. Politically, Brazil is today a vibrant democracy that has enjoyed two consecutive two-term presidencies over the past twelve years. Policy continuity has improved as a result.

Achieving Brazil's Future in the Present

Will these changes serve to overcome the stagnancy of Brazil's economic heritage? Can they proceed despite the heavy-handed bureaucracy that has acted as a drag on the economy since the days of the House of Braganca kings? Can the country, over time, redress its terrible social deficit, giving poor Brazilians greater access to adequate education and health benefits? Will this aircraft carrier of a country prove agile enough to compete in today's global economy? Will the toucan fly at last with the eagle?

It won't be easy. In this age of globalization, Brazilian economic performance must first catch up with that of other large, intermediate economies; i.e., the so-called "BRICS" (i.e., Brazil, Russia, India, China, and South Africa). Brazilian growth in recent years has been anemic; the country is resolutely capitalist, but has no tradition of European-style free-market liberalism; what we still have, to a degree, is something akin to US-style "crony capitalism" in the US of the late nineteenth century. Political institutions are dysfunctional, and corruption continues as a major problem.

But perhaps Brazil will adapt better

to the challenges of the twenty-first century. There are encouraging signs; for example:

- Brazil is essentially energy-independent. By marshalling her resources of off-shore oil, hydropower, natural gas, and bio-fuels, she has greatly reduced her vulnerability to oil and other external shocks (in fact, recent offshore discoveries could eventually make Brazil an important oil exporter). By the same token, Brazil has become a world leader in environmental research, beginning to face up to the slow disappearance of the Amazon rainforest;

- For the first time in its history, the Brazilian Government is making a concerted effort to lift its many poor citizens out of poverty and into the market economy. President Lula's "Bolsa Familia" program provides for cash transfers to over one-quarter of the population, on condition that children stay in school and receive basic, preventive medical care;

- Brazil is finally facing up to its racial problem. For generations, Brazilians of all colors have persisted in the belief that their country was a "racial democracy" without prejudice or discrimination. The fact that black Brazilians—roughly half the population—are almost all at the bottom of the socio-economic ladder makes racism a major factor in Brazil's high level of income inequality, with the richest fourteen percent of Brazilians in 2005 (virtually all white) holding fifty percent of the national income.¹ This is Brazil's greatest stain and the most important impediment to creating a true consumer economy.

Most importantly for us, Brazil's success in shaking off the negative aspects of its history would likely, over time, help to bring our two nations closer together. Like massive bookends, these two large countries sit astride the

hemisphere. We will both be responsible for the evolution of this relationship, for good or for ill. When we in the United States fail to give the attention to Latin America that it deserves, space opens for mischief-making by the Chavezes in the neighborhood. The world will be a safer, more prosperous place once and if these two big birds can fly together.

Note

1. UNU-WIDER World Income Inequality Database, Version 2.0c, May 2008.

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Student Ratings of Professors: Evidence of Teaching Effectiveness or Threat to Academic Freedom?

Research supports student ratings, despite the possible influence of a professor's charisma or of student concern over the use of ratings in tenure decisions.

J. Robert Warmbrod



About the Author

J. Robert Warmbrod, Distinguished University Professor Emeritus at Ohio State University, has served

there as Chair of Agricultural Education, Acting Vice President for Agricultural Administration, and Dean of the College of Agriculture. He was awarded the University's Award for Distinguished Teaching in 1972 and 1995. With a B.S. in Agriculture and M.S. in Agricultural Education from the University of Tennessee-Knoxville, he earned an Ed.D. in 1962 on a fellowship at the University of Illinois, Urbana-Champaign, where he taught from 1962 to 1967. He joined the faculty at the Ohio State University in 1968.

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Prior to the late 1960s, American college and university students rarely were given the opportunity to evaluate professors or courses, but since then student evaluations have been increasingly used as diagnostic feedback to faculty about their teaching, to provide information to students in selecting courses and instructors, and as evidence when faculty committees and administrators make decisions about tenure, promotion, and merit pay, becoming almost universal as one source

of evidence for making personnel decisions. This paper reviews empirical research conducted since 1970 on such use of student ratings of professors and courses. The *Chronicle of Higher Education* reported that nearly 2,000 studies have been completed on the topic, making it the most extensive area of research in higher education.

In the face of faculty criticism that student ratings are invalid and unrealistic, influencing course content, grading, and methodology, and thereby compromising academic freedom, researchers claim that student ratings are statistically reliable, valid, and relatively free from bias. Their studies show that student evaluations record their perceptions about various dimensions of an instructor's teaching. One model describes teaching in terms of three factors. First, the instructor is a *communicator*, in terms of speaking skills, clear organization, and enthusiasm; second, the instructor is a *facilitator*, as indicated by extent of intellectual challenge, class discussion, and availability and helpfulness to students; and third, the instructor is a *manager*, as demonstrated by clarity of objectives, fairness and impartiality, feedback to students, difficulty and workload of the course, and classroom management. Nevertheless, in judging the instructor's subject mastery and the academic rigor and research base of the course, peers—not students—are in the best position to make valid evaluations.

Are student ratings of teaching

reliable? Reliability refers to the consistency and stability of the scores yielded by the rating instrument. Reliability is assessed by determining the extent of agreement among the students in a class in their responses to items on the rating instrument. Measurement specialists have established that the reliability of class-average numerical ratings from 10 or more students compares favorably with the reliability of the best objective tests—technically this indicates a reliability coefficient of .70 or higher where coefficient values approaching 1.0 indicate consistent and stable measurement.

Are students' evaluations valid measures of teaching effectiveness? Validity poses the question whether the numerical scores yielded by student rating instruments actually measure the construct "teaching effectiveness." The primary criterion for appraising the effectiveness of instruction is students' level of achievement indicated by scores on examinations and grades earned. Studies seeking to establish the validity of student ratings describe the relationship between student ratings of teachers and students' level of achievement. A substantial positive correlation between student ratings and achievement is evidence that students' evaluations are valid indicators of teaching effectiveness.

A multi-section validity paradigm is used by researchers to examine the ratings-achievement relationship. The paradigm requires courses with multiple

sections, with each section taught by a different instructor. Instructors of all sections teach to accomplish the same course objectives and use the same syllabus and textbook. Students in all sections complete a common final exam and assess anonymously the teaching effectiveness of their instructor using a standardized evaluation instrument. The statistic indicating the validity of student ratings of teaching is the correlation coefficient describing the magnitude of the relationship between section-average student ratings and section-average final exam performance.

During the early 1970s, three articles reporting investigations of the validity of student ratings of professors appeared in the journal *Science*. The first article reported a coefficient of negative .75 between section-mean student ratings of graduate teaching assistants and section-mean course grades for 12 sections of undergraduate students enrolled in a calculus course in a California university. The study was touted by critics of student ratings of professors as evidence that good teaching is not validly assessed by student evaluations. Within a year, two more studies of the validity of student ratings were published in *Science*. The authors of both articles, explicitly noting that their research did not exhibit the methodological deficiencies of the previously published study, reported substantial positive correlations between students' evaluations and achievement. A study at Northwestern University involving students enrolled in multi-section calculus courses correlated section-mean scores for student ratings of professors for six teaching dimensions with section-mean final exam scores resulting in positive correlation coefficients of .87 for students' estimates of how much they had learned in the course, .75 for teacher presentation/communication, .69 for grading, .62 for organization/planning, .44 for workload, and .31 for teacher accessibility.¹ The third study published in *Science*, authored by a professor of pharmacology at the State University of New York at

Buffalo, reported correlations between sophomore medical students' ratings of professors and their performance on the National Medical Board Examination of positive .77 for content/organization and .69 for presentation.

In 1981, a psychology professor at Dartmouth College summarized research investigating the relationship between student ratings of instruction and student achievement for 68 multi-section courses. He reported average correlations of .47 for overall course rating and .43 for overall instructor rating. Multi-section validity research has concluded that student ratings are valid indicators of teaching effectiveness. Studies also indicate that students' evaluations of instruction are positively and substantially correlated with effectiveness ratings of former students, effectiveness ratings of instructors' peers, and ratings of instructors by external observers.

Critical assessment of empirical evidence in studying student ratings must look at potentially biasing factors that may confound the ratings-achievement relationship. A prime candidate is the expressiveness of the instructor, which burst on the scene in 1973 with the publication of an article in the *Journal of Medical Education* that investigated this hypothesis: "Given a sufficiently impressive lecturer, persons participating in a new learning situation can feel satisfied that they have learned when irrelevant, conflicting, and meaningless content is conveyed by the lecturer." Psychiatrists, psychologists, and social work educators were the audience. A professional Hollywood actor was coached to present a lecture and conduct a question and answer session with an excessive use of doubletalk, neologisms, non sequiturs, and contradictory statements interspersed with humor and meaningless references to unrelated topics. A fictitious but impressive curriculum vitae was prepared. The actor was introduced as the ambitious Dr. Myron L. Fox, an authority on the application of mathematics to human

behavior, whose hour-long lecture of irrelevant, conflicting, and meaningless content was followed by a half-hour discussion period, after which audience members completed an evaluation consisting of seven questions to be answered "yes" or "no" indicating their satisfaction with the lecture and discussion. Using a video tape of the lecture and discussion, the study was repeated with another group of mental health educators, and again with a group of educators and administrators enrolled in a graduate educational philosophy course. Participants' responses to the questions overwhelmingly indicated a high degree of satisfaction. One person reported having read the lecturer's fictitious publications. The authors concluded that students can be seduced into feeling satisfied that they have learned when no substantive content is presented charismatically and that student satisfaction with learning may represent little more than the illusion of having learned. Thus new terms entered the lexicon of the evaluation of teaching—educational seduction and the Dr. Fox Effect—as threats to the validity of student ratings as evidence of teaching effectiveness.

Methodological flaws of the Dr. Fox study were noted—the most obvious being the lack of a control group and the absence of post-lecture questions assessing the knowledge acquired by lecture participants or seeking their perceptions about learning gained from the lecture and discussion. Correcting the methodological deficiencies of the original Dr. Fox study, researchers at several universities designed an internally valid research paradigm to assess the influence of an instructor's expressiveness—now labeled educational seduction—on both student ratings and achievement. The new design examines the main and interaction effects of seductiveness and content covered on students' learning and their ratings of teaching effectiveness. Specifically, the design manipulates two levels of expressiveness (seduction)—

high or low—reflecting differences in vocal inflection, friendliness, charisma, humor, and personality. Also manipulated are three levels of content coverage described by the number of substantive teaching points covered—high coverage, medium coverage, and low coverage. Achievement is measured by cognitive tests; instructional effectiveness is quantified by students' responses to scale items pertaining to a variety of instructor behaviors and student outcomes. Analyses of the studies using the internally valid Dr. Fox paradigm at a number of universities have resulted in two significant conclusions: 1) Expressiveness manipulations have a major impact on student evaluations of teaching and little effect on achievement; and 2) Content manipulations have a major impact on achievement and little effect on student evaluations.

Another threat posed by student ratings is the question of the influence of an instructor's grading leniency or strictness on evaluations. Research has established that student ratings correlate positively with course grades, the best estimate being a correlation of .20. A grading leniency hypothesis proposes that instructors giving higher than expected grades will be rewarded with higher than deserved student ratings, injecting a serious bias in interpreting student ratings. A counter "validity hypothesis" supports the validity of students' ratings by asserting that higher grades reflect greater student learning. A third hypothesis—the students' characteristics hypothesis—stipulates that preexisting student variables such as motivation and prior interest may affect students' achievement, their grades, and ratings of teaching effectiveness. Reviewers of the evidence have favored the validity and students' characteristics hypotheses, noting that any bias caused by the grading-leniency effect is not substantial.

Empirical evidence tracks the complex interrelationships between

Another threat posed by student ratings is the question of the influence of an instructor's grading leniency or strictness on evaluations.

student ratings and such factors as high prior student interest in a subject, courses that are elective, smaller in size, and advanced in level. Although an instructor's age, experience, rank, and gender have little bearing on student ratings, higher ratings have been noted in the arts and humanities than in the sciences; when ratings are not anonymous and the instructor is present; and when students know the results of the evaluation will influence tenure and promotion decisions.

The proposition has been advanced that effective teaching and research productivity are closely allied, and that a faculty member's publication record is thus valid evidence of teaching effectiveness. That proposition is not supported by empirical evidence when teaching effectiveness is assessed by student ratings and research productivity is measured by publication records. In the early 1980s, an analysis of the relationship between students' overall effectiveness ratings and research productivity of faculty members in 70 colleges and universities resulted in the conclusion that the teaching effectiveness-research productivity relationship was either nonexistent or too modest to conclude that one necessarily enhances the other. An analysis of 29 studies of the teaching effectiveness-research productivity relationship reported in 1987 indicated an average correlation of positive .12. A 1996 analysis of 58 studies reported an average correlation of positive .06 between the number of publications and teaching effectiveness ratings.

Researchers have concluded that, for all practical purposes, research productivity and teaching effectiveness are essentially unrelated.

Empirical research shows that students' evaluations of teaching are reliable and stable, primarily a measure of the instructor's effectiveness rather than of the course, although administrative, instructor, and course characteristics can influence the ratings. The low correlation of ratings with student learning require supplemental research into students' awareness of how their rankings are used by colleagues and administrators for promotion or tenure decisions, and a clear acknowledgment that the appropriateness, accuracy, currency, and rigor of course content—best judged by peers, not students—should determine personnel decisions. The internally valid Dr. Fox experiments clearly show that course content is more important in influencing achievement than is an instructor's expressiveness, which largely affects just the students' satisfaction, not their achievement.

On the whole, research provides both favorable and unfavorable conclusions about student ratings. Empirical evidence confirms that students' evaluations provide one source of valid and reliable evidence about teaching effectiveness.² However, information about instructor and course characteristics as well as the administrative arrangements for obtaining student ratings is required for fair and valid interpretations of student ratings data. Arguments contending that students' evaluations infringe on academic freedom primarily reflect personal and anecdotal evidence that ignores evidence that establishes and substantiates student ratings as valid and reliable evidence of teaching effectiveness.

Notes

1. In social sciences, validity correlation coefficients less than .30 are not practically useful; correlations between .30 and .49 are practically

significant; and correlations .50 or higher are very useful, but not common.

2. The bibliography lists recommended reports of research on student ratings of college teaching.

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"Higher Education," from page 10 observes that our best corporations are learning from higher education and other social sector entities that tangible, short-term outputs may not be the most sustaining over time. In fact, he finds, great corporations more closely resemble great non-profit organizations (including institutions of higher learning) than they do good or mediocre for-profit organizations.

To be fair, what the business world has taught higher education is that the days are over when money is "left on a stump in the middle of the night"—with no questions asked. With increased freedom comes the need for increased responsibility. Higher education can no longer continue to accept public and corporate support without being accountable to its sponsoring public and stakeholders. Surely, if left entirely to the self-serving ambitions of higher education—or of Corporate America—

the welfare and future of our country would be in jeopardy. As has been acknowledged many times in the past, the greatness of the United States of America is not because of its system of government or its system of economics. Our country is great because of its ideals. This is fostered in large measure when the imagination, idealism, and academic freedom of higher education are balanced with the pragmatism, spirit of entrepreneurship, and work ethic of Corporate America.

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"First Flight," from page 18

Simon & Schuster, 1992), frontispiece.

2. Ken Wilber, *A Brief History of Everything* (Boston: Shambhala, 1996), 62-67.

3. Ken Wilber, *The Atman Project* (Boston: Shambhala, 1980), xiv.

4. Ken Wilber, *One Taste: The Journals of Ken Wilber* (Boston: Shambhala, 1999), 323.

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Call to Annual Business Meeting and Torch Convention — Appleton, WI — June 25-28, 2009

Thursday, June 25..... 3:00PM Officers' Exchange • 4:00PM Business Session I • 5:30PM Dinner & Torch Paper #1

Friday, June 26..... 9:00AM Business Session II • 10:30AM Torch Paper #2 • 12:15PM Box Lunch & Tours

5:30PM Dinner and Musical Performance: The North Star Nordic Dancers

Saturday, June 27..... 8:30AM Meet the Editor • 9:15AM Membership Development • 10:30AM Torch Paper #3

12:30PM Lunch & Tours • 6:00PM Reception (cash bar) • 6:30PM Banquet & Paxton Paper

Sunday, June 28..... 7:30AM Interfaith Service • 9:00AM Torch Paper #4 • 10:00AM Business Session III & Closing

Torch Convention Highlights

The Torch Club of the Fox Valley, located in Appleton, Wisconsin, is pleased to be hosting the International Torch Convention, June 25–28, 2009. We have been working to arrange some fantastic speakers, and will offer exciting tours of local attractions.

Papers at this year's convention will be presented by noted authorities from the University of Wisconsin, Madison as well as local experts. Dr. Nancy Mathews, of the UW will speak on Environmental Issues. Dr. Mathews teaches Ecosystem Management and Conservation Planning for Endangered Species on Private Lands. Dr. Rupa Shevde, also of the UW, will speak on Ethics and Stem Cell Research. The UW Madison is a major center of stem cell research worldwide. Ellen Kort, Wisconsin's First Poet Laureate, will entertain and stimulate your thinking.

Friday tours will offer choices including visits to three local historic house museums – the Paine Art Museum, a beautiful historic home surrounded by fabulous gardens; the Bergstrom-Mahler Museum featuring a world famous paperweight collection; and Neenah's Baron Homes. Those with a more outdoor interest will be able to see the local emergence of the Niagara Escarpment at High Cliff State Park, and maps for a walking tour of historic downtown Appleton on your own will be offered. Friday evening we will be entertained by the North Star Nordic Dancers.

On Saturday, the afternoon tours will rotate between the Hearthstone house, first home in the world powered by a centralized hydro-electric plant; the Paper Discovery Museum on the beautiful Fox River, and the Weis Earth Science Museum on the UW Fox Valley campus.

Of course, the best thing about any Torch Convention is the chance to meet old friends, share warm fellowship and fascinating ideas. We will do our best to make this one of the best ever!

Please join us.

Convention Registration

International Torch Convention
Appleton, Wisconsin
June 25–28, 2009

Please go to our website listed below right and complete a registration form and return it along with a check payable to: **Torch Club of the Fox Cities.**

(If you would like us to mail you a registration form, please complete and return the request form below.)

Mail to:

Barbara Kelly
Attention: Torch Convention
2645 Sunnyview Road
Appleton, WI 54914
920-731-2610 (home)
920-915-6173 (cell)
Bkelly48@gmail.com

Convention Rates:

By Feb 1, 2009: \$320 US
By May 15, 2009: \$330 US
After May 15, 2009: \$350 US

Name: _____

Phone: _____

Address: _____

Email: _____

Torch Club: _____

Names of Guests: _____

Special Needs: _____

Radisson Paper Valley Hotel and Convention Center

The Radisson Paper Valley Hotel, located in Downtown Appleton, (www.radisson.com/appletonwi) will be the center of most of our activities. The hotel offers free shuttle transportation from the Outagamie County Regional Airport, and luxurious accommodations.

Please call the hotel directly to reserve your room before May 27, 2009. A special block of rooms will be held for the Torch Convention until that date. Be sure to mention that you are a part of the Torch Convention.

Torch Club rates have been fixed at \$104 plus taxes, but to upgrade your room to the concierge level, you may do so for a small extra fee.

Please Reserve your room EARLY!! The Fox Cities will be hosting a major event called the Badger State Games at the same time as Torch. Rooms may not be available at the last minute.

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Appleton WI 54911

Reservations: (888) 201-1718

Telephone: (920) 733-8000

Fax: (920) 733-9220

Email: info@radissonpapervalley.com

Fox Cities Information for Planning Your Trip

Torch Club of the Fox Valley Website
www.focol.org/torchfoxvalley/Convention

Fox Cities Convention and Visitor's Bureau www.foxcities.org

Fox Cities Online www.focol.org

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Reflections

“The First Value of
Torch is the free and
responsible mind.”

Leonard Kercher, former
IATC President, 1955,
quoted in Thomas Carroll,
The Story of Torch
