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ABSTRACT

This document presents discussions by legislators and educators on the degrees of responsibility and authority that State planning and coordination agencies should be assigned in the design of a sound growth pattern for higher education appropriate to the needs of modern society. Some of the issues raised touch on (1) the proliferation of Ph.D programs, and the role of the Federal Government in encouraging institutions to expand into new doctoral fields; the impact of Federal funding on educational activities, and the threat of a decrease in Federal support; the relationships between State agencies and educational institutions; and the value of planning and coordination boards to State level decisionmaking. (JF)

NEW DIRECTIONS IN STATEWIDE HIGHER EDUCATION PLANNING AND COORDINATION

Proceedings of the 19th SREB Legislative Work Conference
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Southern Regional Education Board
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FOREWORD

From its inception, the Southern Regional Education Board has continuously stressed the importance of rational growth in higher education if it is to make its maximum contribution to the social and economic development of the region.

Our states are now facing a great challenge in providing postsecondary education appropriate to the needs of society. As enrollments and costs increase, there is new concern for coordinated growth. This concern was reflected in the theme "New Directions in Statewide Higher Education Planning and Coordination" at the 19th annual Legislative Work Conference at Hilton Head, S. C.

The papers and discussions at the LWC offered no easy solutions on proper planning and coordination of higher education. However, the dialogue between speakers and legislators helped participants to become more sensitive to the issues, needs, and duties involved in effectively meeting assigned responsibilities, in developing clearer understandings between state planning agencies and individual institutions, and in stimulating further support of higher education's mounting needs.

Although the responsibility and authority of planning and coordination agencies vary among the states represented at the conference, there appeared to be substantial agreement on several propositions:

–The size of the higher educational enterprise requires some type of state-level planning and coordination.

–There is a commitment to broader higher educational opportunity, and state leaders are seeking ways to complete the commitment.

· Since states provide the largest share of financial support for higher education, they must decide how much support, and for which institutions and programs.

Planning and coordination as we have known them are not panaceas for all the ills of higher education. But given proper leadership and working relationships, state agencies can do a great deal to insure sound growth and to accelerate needed changes in higher education.

Winfred L. Godwin
President

OPENING ADDRESS

Governor Buford Ellington, Tennessee*
Chairman, Southern Regional Education Board, 1969-70

Higher education in the South has gone through a period of needed expansion in the past decade, but now it is time for us to evaluate what we have done to determine our future capabilities.

We must carefully plan professional and graduate education to prevent unnecessary expansion and duplication of costly programs and to insure that new programs will meet the changing needs of society. Our institutions should avoid becoming pale imitations of each other because this approach is too narrow to meet the diverse educational needs of the people of our region.

Our responsibilities will call for additional facilities, teachers, researchers, and money. However, legislators and other observers of higher education are skeptical of requests for appropriations if they see unnecessary duplication of educational programs, overexpansion of course offerings, and inefficient use of existing facilities.

We need a reassessment of our priorities, an appraisal of our accomplishments; we may well need new and innovative approaches if we are to meet the challenge of higher education in the 1970's.

For the first time in the history of the South, all of our states have some type of state-level agency to plan and coordinate higher education. This development could not have come at a more appropriate time because of the financial problems we face as enrollments rise and budgets soar.

Governors, legislators, and educators are aware that states do not have the funds to continue unplanned expansion of our higher education systems. Yet, we also realize that we must provide quality education and programs to meet new needs if the region is to develop and prosper.

I have spoken many times on the need for a new fiscal relationship between states and the federal government because state governments alone cannot bear the burden of support for all of higher education's expanding programs.

States, however, must be more concerned with effectively using the resources they have. This requires that we do our very best to make our planning and coordination agencies a truly effective part of both higher education and state government. I hope that the papers and discussions at this 19th annual Legislative Work Conference will be helpful in that regard.

I also hope that those of you who are not well acquainted with the Southern Regional Education Board will use this opportunity to talk with the Board's staff and become familiar with its various programs and services.

In Tennessee, the Board provided valuable help in the creation and staffing of the Commission on Higher Education and has assisted us in various studies on our higher education needs. The Board's student contract program has benefited Meharry Medical College, a regional institution. The University of Tennessee Dental School serves several of our states under SREB contracts, as do some of the institutions in your states.

There are many other ways in which this regional agency, which was planned by the Southern Governors' Conference and created by legislative act of the several states, helps us all. For example, it recently concluded a study for Florida's Select Council on Post-High School Education. Presently, it is conducting an inquiry for the new West Virginia Board of Regents on possible need for community colleges in that state.

I am particularly pleased the Board is now attempting to work with our states in developing management information systems in higher education so that all of us can have more reliable and complete information on operating costs, student enrollments, faculty salaries, physical facilities, and other aspects of institutional operation. We need

*This speech was delivered by S. H. Roberts, executive administrator, in Governor Ellington's absence.

more information to plan better for the future and to gain the public support necessary for the growth that lies ahead.

As one who has observed SREB's work in two administrations as governor of Tennessee and as one who now concludes his second term as chairman, I commend our regional program to each of you. You provide support for the program and your interest is most important, so I hope you will take an active part in its work. The program belongs to the states, and if we continue to work in it together both higher education and state government will benefit.

PANEL: MAJOR ISSUES IN PUBLIC HIGHER EDUCATION AND EXPECTATIONS FOR STATEWIDE PLANNING AND COORDINATION

Moderator: James L. Miller, Jr., Professor of Higher Education
University of Michigan

The purpose of this session is to identify and then discuss some of the major issues in public higher education as they relate to statewide planning and coordination. The emphasis in the session is to be upon *discussion*. Therefore the identification of issues by those of us on the panel will be brief, with elaboration on the issues reserved for the give and take discussion period following our initial presentations.

There is no doubt that 1970 marks a major turning point in American higher education. Among the evidence for that assertion is the following:

> The rapid rate of growth in enrollments which we experienced during the 1960's will slow down during the 1970's, although it will not level off altogether.
>
> The acute shortage of qualified faculty which has plagued us since the Second World War finally has become balanced. The scare stories you now hear of an oversupply of Ph.D.'s (with the implication that some of them will starve) represents an exaggerated reaction to the initial shock of moving from a sellers' to a buyers' market.
>
> The rapid increase in federal financing of higher education has leveled off, at least temporarily.
>
> During the 1950's and '60's we accepted the notion that universities would, in one way or another, provide answers to all of society's problems, and now we are having the inevitable second thoughts about that. Even if universities *are* making important contributions to the solution of our nation's problems and obviously they are—universities still are not the whole answer, nor can they provide instant solutions.
>
> The disturbing phenomenon of student unrest has destroyed the illusion that mass higher education is an unmixed blessing, solving problems without creating new ones.

An assessment of the current situation shows the following. The goal of universal higher educational opportunity for all who desire it or can benefit from it has been accepted across the nation, and a great deal has been done to make it a reality. Approximately half of the college-age population attends school, and the number is increasing steadily. This has been made possible principally by the actions of state governments, but with substantial assistance from federal and local governments. State governments have created the community junior college systems, which bring the first two years of post-high school work within commuting distance of students; state governments have financed the growth of regional colleges and universities and the establishment of new urban universities which have absorbed a major portion of the growth in undergraduate enrollments; and states, with considerable federal help, have financed the expansion of graduate and professional education in the major universities. During the 1960's alone, state appropriations for higher education in the United States increased from $1.5 to $7 billion.

State-level planning and coordination for higher education is necessary simply because of the size to which the higher education enterprise has grown. The establishment of state coordinating agencies was not easy, nor were the early years of their operation. Frequently they were faced with opposition from the colleges and universities and inadequate staff and financial support for their own operations. It would not be accurate yet to say that those days of struggle are past, but at least they are passing. *Every* state in the Southern region

now has a state planning and coordinating board, as does almost every state in the nation. Some of the strongest and most effective boards in the nation are in the South. They have suffered through not only their infancy but their adolescence as well. They have gained acceptance as legitimate and necessary. This does not mean there is universal happiness with the boards, but it does mean there is agreement that a state cannot do without a coordinating board of some kind to perform a number of important state-level functions that cannot be performed effectively by any other type of agency. Just how far we have come can be appreciated only by those of you who were involved in the struggles to gain acceptance of the necessity of planning and coordination. Many of you here were involved in those struggles, because I well remember our working together during them.

The following statements will summarize the present situation and suggest some of the questions and issues for the future:

The existence of state planning and coordination agencies is a reality; the questions for the future concern what they should do and how, not whether they should exist.

The commitment to universal higher educational opportunity for all who want or can benefit from it is generally accepted; the questions for the future concern how to finish the task of implementing universal opportunity.

The principle is generally accepted that the only realistic way to absorb greater numbers of students is through state systems of community colleges plus new urban universities and continued expansion of regional universities; the questions for the future concern how to complete the task of providing these institutions.

The principle that Ph.D. programs and high cost professional education can and should be offered in a limited number of institutions is generally accepted; the questions for the future concern how many institutions should offer them, and which ones.

The importance of post-high school technical and occupational education is universally accepted, and the principle that it should be offered in comprehensive community colleges rather than in separate vocational schools is widely (though not universally) accepted; the questions for the future deal with the resolution of the issue of which institutions should offer technical and occupational education and with the expansion of such programs. Few aspects of education are so widely praised and so inadequately provided for as this one.

The principle of federal responsibility for financing part of the costs of higher education has been well established, even though this support has now leveled off at approximately $4 billion; the questions for the future concern whether the level of federal assistance should increase, by how much, and for what purposes. The Carnegie Commission on Higher Education recently proposed that future *increases* in federal support should *not* go into the same fields that already have been receiving considerable federal support (research, graduate education, and science) but instead should support other needs, namely: increasing equality of educational opportunity, education for the health services, and academic reform and innovation.

The states will continue to provide the largest share of financial support for the operating costs of institutions during the 1970's just as they have in the past; the questions here will concern how much support, and for which institutions and programs. The fact that enrollments are increasing less rapidly than they did during the past decade means that increases in financial support, if they continue at the rates of the 1960's, can be directed more into the improvement of quality than was true when so much had to be used simply to keep up with the numbers.

State-level decision making about higher education is based more and more on information and recommendations assembled by state planning and coordinating agencies; an issue of growing importance is the amount and type of information which these agencies have available to them as they formulate their recommendations. This question constitutes the basis for the session on management information systems.

With more than 70 percent of all students enrolled in public institutions, higher education has become largely a public function, in contrast to the 50-50 public-private enrollment balance which prevailed until about fifteen years ago; a question for the future is the extent to which the states should assist private higher education, and how. This is not an easy issue to resolve. It also is the topic of a special session later in the week.

Campus unrest is much on our minds these days, and therefore the question arises: can the planning and coordinating agencies help to quiet it? My own answer to that is a "yes" and a "no"- yes in the sense that they can do much to help improve the quality of educational opportunity and thereby help to resolve some aspects of the student complaint; but no when it comes to intervening directly in the management of individual institutions. Absentee management is seldom effective management. On-campus problems are best solved by on-campus people, including not only administrators, but also faculty and students. They will not always be successful, of course, but the odds are that absentee managers would be even less successful.

These are some of the issues that face us - obviously only a partial list, but perhaps it is a start.

John E. Amos, Former President
West Virginia Board of Regents

Let me observe first that I have one unique qualification to be on this panel. I don't know of another in the land who can claim it. I am probably the shortest tenured governing board member in the country who qualifies for membership in the "former president's club." This may stir your curiosity.

I was appointed to the West Virginia Board of Regents upon its creation July 1, 1969, and elected at that time by the other eight members of the board as the first president. While I think I did a fairly good job and I know I worked hard on more higher educational matters than I ever imagined could exist I was evicted from my position as board president two months ago upon completion of my first year of service.

Pride compels me to mention that the statute creating the West Virginia Board of Regents states that "The Board shall elect a President and such other officers as they may determine necessary . . . . for a one year term . . . . the President of the Board shall not be eligible to succeed himself."

So, I come before you with an L.L.B. degree (earned, not honorary), the brief experience I have just related, and a knowledge that my appointment as a member of the West Virginia Board of Regents did not make of me an expert or a professional in the field of higher education. I acquaint you with these facts in the hope that I may have your sympathy, understanding, and tolerance.

Although I am a rookie in the higher education governing league, I welcomed and accepted Dr. Godwin's invitation for simple and selfish reasons: in exchange for sharing with you the expectations I have for our board of regents, I gain admission to a conference from which I expect to learn a great deal about statewide higher educational planning and coordination. Obviously, the exchange is in my favor.

In order to establish a basis or a context for the expectations that I will outline, I ask you to consider several factors which characterize West Virginia and the West Virginia higher educational scene.

First, West Virginia is:

Losing population - it suffered a 10 percent population loss from 1960 to 1970.

Low in per capita income.

Failing to educate many talented youth. Too few of our young people complete high school and too few of those who do go on to college.

Without a statewide higher educational plan. Priorities must be established to meet today's educational needs and to guide tomorrow's higher educational development.

Second, West Virginia has:

Ten four-year colleges and universities. Several of these may be too small for economical operation, yet some have difficulty in filling their dormitories.

Seven private colleges. These generally have sizable out-of-state enrollments, and I am told that some face serious financial problems.

A very limited offering of two-year post-high school educational programs. The two-year programs which do exist are provided in the four-year colleges or in branches of the senior institutions.

It is against this West Virginia backdrop and in light of the broad issues facing public higher education today (which Dr. Miller has so ably brought to our attention) that I now summarize several of my major expectations for the West Virginia Board of Regents.

First, I expect the board of regents to become, and to be recognized as, a sound and efficient management agency for higher education in West Virginia. In this regard, I believe you may be interested in the responsibility assigned to the board by statute. I read you a sentence from the act:

"On and after the effective date of this article (July 1, 1969), the general determination, control, supervision and management of the financial, business and educational policies and affairs of all state colleges and universities shall be under the control, supervision and management of the Board."

And a later sentence from the same paragraph:

"The Board shall, upon reasonable basis, prescribe and allocate among the state colleges and universities specific functions and responsibilities to meet the higher educational needs of the state and avoid unnecessary duplication."

I am confident the legislature, the governor, and the citizenry of the state--and I know I speak for the board on this point--want higher education

operated in a manner consistent with sound management principles. To this end, the board of regents can be expected to establish appropriate data collection and analysis techniques to provide those involved in the state decision-making process with clear and precise information about higher education. For example, information will be periodically published on:

A) Current expenditures in West Virginia higher education by major functions and activities.

B) Comparison of these expenditures with comparable data on the regional and national scene.

C) Volume and quality of instruction, including data on faculty, work loads, degrees awarded, and student admissions and achievements.

To summarize, I see greater credibility and increased support being established in the state higher educational enterprise through sound management, including full disclosure in a systematic and objective manner of both the strengths and weaknesses of the system.

Sensible planning on a statewide basis is a second expectation I hold for the board of regents. Both short- and long-range higher educational objectives must be determined and measures developed for their utilization.

We have all heard many discussions on how to plan. I will not belabor the point except to say that sound management compliments sound planning and the opposite is equally true.

I do stress the fact that the board of regents must plan in the "arena of reality" rather than on a "cloud of bliss." Stated more dogmatically, it may be excellent therapy to "dream of the ideal" but the board must "plan for the possible." Let me illustrate this point.

Our board must make an early determination of the specific higher education needs of the state. If in this process it is determined, as our chancellor and others feel it will be, that we have a serious void in our two-year technical offerings in higher education, then several critical questions must be answered, including: What priority should the board assign to the two-year programs? What plan or plans are best for meeting this need?

One key factor involved in answering these questions is that of finances. In considering the financial implications, the board must recognize the cost involved in the different approaches for initiating a new program. The board must also carefully project the long-range future costs of a new two-year development. Of equal importance is the fact that the board must project future costs for maintaining existing programs. Then the most critical question of all must be faced. How do these projected costs relate to the anticipated financial capacity of the state to support higher education in the years ahead?

Financial forecasting is a complicated business. I am not suggesting it is the sole responsibility of the board of regents. I am saying sound planning requires that due consideration be given to the ability to pay. Under-financed, poor-quality programs may be worse than no programs at all.

I would not want to leave you with the impression that I expect financial planning to preempt all other planning activities of the board. Over the years too many questions regarding future costs of proposed educational developments have gone unanswered. I expect the board to improve on this past performance record.

The financial resources of any state are not without limitations. In my opinion the board and all state bodies have a moral responsibility to plan for the most productive uses of the state monies.

My final point or expectation is of a somewhat different order. It concerns the participants in the state system of higher education.

The board of regents must, it seems to me, define the rights, responsibilities, and standards of conduct which shall be applicable to each of the several constituent members of the higher educational operation (*i. e.* students, faculty, administrators, nonprofessionals, etc.).

In addition, the board must establish procedures whereby effective action can be taken to insure full compliance with approved personnel policies.

In blunt terms, it is incumbent upon the board of regents to define conditions under which students, faculty, and others may hold membership in the state's higher education enterprise. I believe the State of West Virginia, through the board of regents, should control its system of higher education.

The board at its August meeting took its first action in regard to student rights, responsibilities, and standards of conduct by adopting a set of

policies, rules, and regulations. These were developed over a three-month period through the joint efforts of a board committee, the staff, several college presidents, and extensive assistance from legal consultants. Each student was or will be provided a copy of these rules at the fall registration.

The underlying principle on which these policies are founded is that attending a West Virginia institution of higher education is a privilege, not a right.

I conclude with the observation that meeting West Virginia's needs in higher education will require considerable imagination in addition to sound planning, good management, sensible personnel policies, and money. I look to the future with optimism. I know the new board of regents will do its best.

T. Marshall Hahn, Jr., President *
Virginia Polytechnic Institute and State University

The intensifying pressures which concern us on the campus lend urgency to achieving new dimensions in statewide planning and coordination. My own views on this subject have changed sharply in recent years. With the growing challenges facing higher education, I am convinced statewide planning and coordination must assume an increasingly important function, and the leaders of statewide coordinating agencies in higher education and the leaders of individual institutions truly must become full partners in higher education.

It has been suggested that among the most serious challenges now facing higher education are the downturn in the economy and the upturn in student unrest. This is, of course, extreme oversimplification, but it does contain an element of truth.

It is important that we recognize the basic differences in our total environment and in the current student generation from that of our own student days. Most of us were products of the depression; we struggled to achieve what we were able to accomplish. We naturally placed a high value on educational opportunity and were strongly vocationally motivated. As students we sought to prepare ourselves for careers that would be economically productive for society as well as for ourselves and our families.

By contrast, today's students are products of an affluent society. In large part they have had little need to worry about economic concerns. As a group they are accustomed to comparatively prompt and effortless gratification of their needs and desires. Many of today's students lack strong motivation in their vocational planning and are quite susceptible to efforts to enlist them in one cause or another.

Most of their political consciousness has come from a decade in which have accumulated some of the most difficult problems which our society has faced. In a world of instant communication, most of today's students are keenly aware of the magnitude of these problems. They want to find solutions now; they become frustrated when instant response to problem-solving efforts is not forthcoming.

I think it apparent that the great majority of today's student generation seeks constructive solutions and responsible reform within existing institutions, attempting to make them more responsive to the emerging priorities of the day. They are interested in educational programs and structures which they perceive to be directly responsive to the issues with which such students are most concerned.

But, at the same time, the potential is explosive, for a small minority of today's students are dedicated to the destruction or overthrow of our colleges and universities, as they are to many other basic social institutions. Unhappily they offer no constructive alternative to the chaos they seek to generate.

Such a combination of factors can produce devastating results. The communications media,

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*This paper was presented by William J. McKeefery, executive vice president of Virginia Polytechnic Institute and State University, in President Hahn's absence.

governmental posture, and judicial attitudes have tended to popularize civil disobedience. The small numbers of students bent on destruction find fertile fields in which to sow seeds of deep discontent. The concerns and frustrations of the majority of today's student generation, unhappily, often can be skillfully manipulated.

These problems, it seems to me, must be dealt with by the educational institutions themselves. There is required a blending of sensitivity and responsiveness to constructive concerns, and an increasing commitment of educational and research resources in support of efforts to resolve the problems facing our society. But also necessary are firmness and fairness in dealing with actual disruption.

Statewide planning and coordination must preserve the institutional autonomy and flexibility to provide such a response.

There are some other very serious dimensions to the situation in which higher education now finds itself. One is the difficulty of the taxpayers in understanding what is happening on the campus. Confrontation, disruption, violence, and disorder can only generate public concern and resentment. Public support for higher education, at a time when it is needed more than ever, can be dissipated very quickly.

The situation is made even more difficult by general economic conditions. The taxpayer is not likely to relate the declining demand for college graduates and a surplus of Ph.D.'s seeking university faculty positions with a need for greater public support for higher education.

At the same time, the personal impact of rising taxes in a softening economy results in increasing taxpayer resistance. The demands for increased social services such as welfare and medical care, coupled with the intensifying needs for physical facilities such as utility systems and highways, can only intensify the problem. It is not surprising that with such competition for taxpayer dollars, public support for higher education is seriously endangered.

During the 1960's, legislators and governors tended strongly to support higher education. The climate was optimistic and expansive. But now it appears that the 1970's are to be characterized by a much more critical assessment of the direction, control, and support of higher education. This changing environment must be a very real factor in our consideration of statewide planning and coordination.

The problem is likely to get worse before it gets better. The voices of those who would financially penalize higher education will grow louder. And yet public unwillingness to provide necessary financial support for higher education not only would curtail the quality and scope of urgently needed educational opportunities, but also would provide direct assistance to students intent upon destroying the educational institutions which they are attacking.

State planning and coordinating agencies can be extremely helpful in dealing with these problems. Staffed with able educational leaders who do not have personal identification and vested interest in a particular campus, such agencies can contribute significantly to public understanding and support at times when social and economic issues become volatile. Increased involvement in budget review, with greater emphasis on planning program budgeting, can be an important line of defense against arbitrary budget reductions precipitated by campus unrest.

Hopefully, many governors and legislators will turn more to state higher educational coordinating agencies for advice on major policy questions in higher education, particularly as the collection, analysis, and publication of statewide data on higher education become increasingly important. Such a role involving these agencies relates to both generating the support for and coordinating the mission of, the state colleges and universities. Such data are most helpful to the individual institutions and invaluable in informing the public and public officials involved in decision making. These statewide studies ought to include results and evaluations of innovative approaches in instructional techniques, including utilization of newly developed equipment and technology.

As the competition for tax dollars intensifies and the level of support for higher education is seriously questioned, a statewide plan designed to meet a particular state's need in higher education becomes essential. More than ever, it will be necessary to demonstrate that the inevitably limited share of the state's total available resources allocated to higher education is used wisely and efficiently. This can best be done through a

statewide plan for higher education, with effective coordination.

There is little question of the need for general agreement on the role, scope, and mission of the various institutions of higher education within a state system: the community colleges, four-year colleges, and state universities. Statewide coordination and planning must encompass a diverse group of educational institutions, each with its own unique strengths and objectives. But once an overall plan is agreed upon, the focus of that plan must remain valid regardless of changing political winds. Otherwise, planning and coordination become meaningless.

There must also be flexibility in the development of new programs and approaches, for innovation and experimentation. Experimental programs are usually expensive, but only through such efforts can changing educational needs be met most effectively. Statewide agencies can encourage and assist institutions which are particularly well suited for the development of new programs in particular fields, by reason of existing strengths and related fields, to pursue such development. Similarly, state coordinating agencies can encourage the termination of unsuccessful or unproductive programs, new or old. Institutional inertia is not totally unknown, and strong leadership by a statewide agency can help to resolve problems difficult to settle without such assistance.

Other points will be brought out by my co-panelists, I am sure, and in the general discussion. In short, however, at a time of campus ferment, increasing competition for the tax dollar, and the growing demands placed on higher education because of social and technological change, it is apparent that an effective partnership between statewide coordinating agencies and individual institutions is essential.

Lindsay C. Warren, Jr., State Senator*
North Carolina

I am grateful for the opportunity to appear on this panel in such distinguished company. As a panel we have been asked to identify some major issues in public higher education and to suggest what is expected from statewide planning and coordination. My perspective is that of a lame-duck part-time legislator, not an educator. I shall, therefore, very briefly outline a few of the problems as I see them (perhaps with a North Carolina flavor). The order of my presentation does not necessarily indicate the priority I place upon the problems.

I suppose for the purpose of our discussion we should assume that the states have effective planning and coordinating agencies whose role and function are clearly defined especially as they relate to the institutions they serve. However, this is not the case in North Carolina and I doubt if it is in many of the states. It seems to me that at the very threshold of a discussion of issues in public higher education we are faced with the question of what is the proper role and function of a state coordinating agency.

I know much has been said on this subject, and I do not intend to waste your time in discussing the pros and cons of various forms of coordinating and governing boards that have developed throughout the country in the last fifteen years. It is sufficient to say that we still have with us the problem of determining what role a state coordinating agency is to play in the development of higher education. The resolution of the problem, in my opinion, is vital to the future planning and progress of public higher education.

Is the coordinating agency merely a planning body with no authority to implement the results of its planning?

Should it have the power to approve new programs and discontinue old programs which no longer meet a need in the state?

Should it have the power to review budgets?

These are a few of the questions which must be answered before the role of the coordinating

**This paper was presented by Cameron West, director of the North Carolina State Board of Higher Education, in Senator Warren's absence.*

agency can be determined. Certainly we must start from the position that a coordinating board does serve to bring together independently governed groups which otherwise would not cooperate effectively to solve problems involving more than one of the parties.

After having served five terms in the state senate, I am convinced more than ever that planning and coordination by an independent state agency are essential to the orderly development of higher education. We can no longer afford—indeed, if we ever could—the luxury of institutions independently determining their place in the sun with little regard for the actual needs of the state and the resources available to meet those needs. The problem is finding the right "mix" between the coordinating agency and the institutions. Certainly the power of the coordinating agency to approve new degree programs is a must if a state is to prevent the proliferation and unnecessary duplication of graduate degree programs.

More controversial is the question of budget review. The coordinating agency's participation in budget review can take many forms. Whatever opinion one may have on budget review, the coordinating agency can perform an important service by providing detailed information to the budget makers.

For example, in North Carolina the planning function of the coordinating agency has resulted in the accumulation of vast amounts of information and statistics about our institutions. This information has been of great value to budget makers both in the executive and legislative branches. I know that in recent years the budget makers in North Carolina have had more reliable information on which to base higher education judgments than in any time in our history. And for this we can thank the North Carolina Board of Higher Education which does not have the power of budget review.

Without further discussion, I restate my first point: The role of the state coordinating agency must be determined and fixed. An impotent board will not contribute to the resolution of higher education's problems. On the other hand, a strong board working closely and cooperatively with the institutions can advance the cause of public higher education.

The structure of the public system of higher education and the appropriate functional role of each institution within the system is another problem which must be faced in most of our states. Although related to the problem of the role and function of the coordinating agency, it may still be viewed as a separate and distinct issue, particularly in those states that do not have a single governing board. In recent years this problem has been a sensitive one. For example, in my own state all of the four- and five-year institutions have been designated regional universities without significant change in their role and scope. As of now none of these institutions has authority to award doctoral degrees, but in 1972 all 15 of them will have the authority to offer doctoral degrees, subject, however, to the prior approval of the board of higher education. You can see that the pressure will build on the board. Unpopular decisions by the board will certainly increase the competitive pressure of the institutions in the General Assembly and ultimately will test the effectiveness and commitment of the state to central coordination and planning.

Another important issue which must be grappled with is the continuing financial plight of many of the private institutions of higher education. What, if anything, should the state do to help? The range of solutions varies from minimal scholarship support to outright state take-over. In my state the 1963 General Assembly was asked to adopt a tuition-grant program for resident students attending North Carolina private institutions of higher education. Although supported strongly by private educators, the proposal was defeated in the Senate Appropriations Committee. Since then North Carolina has approached the problem cautiously. In 1967 and 1969 the General Assembly appropriated funds for tuition grants to nursing students enrolled in so-called private diploma schools. These are hospital nursing schools. In 1969 tuition grants were authorized for resident students attending the medical schools at Duke and Wake Forest universities. Both the board of higher education and a legislative commission are studying the problem in depth and will report to the 1971 General Assembly. Regardless of what we do in the 1971 legislature, the North Carolina Board of Higher Education is giving leadership now and must do so in the future if this problem is to be solved.

It is a truism to say that in statewide planning

we cannot overlook the private sector. It is in the enlightened self-interest of the state to encourage private higher education, not only because it relieves the state of a large financial burden, but because of the great contributions it makes to society. In North Carolina we know that the percentage of students attending private institutions is steadily declining. The rising cost of private education is one of the major reasons for this decline. We must ask ourselves some hard questions and be prepared to find the right answers.

In the interest of time and without elaboration I would like to name a few other issues confronting higher education—the resolution of which will demand a stronger role and greater authority for a coordinating board.

> How should institutions react to the increasing demands of students for a more relevant role in matters of policy traditionally reserved for administrators and trustees?
>
> What does the future hold for the predominantly black institutions?
>
> How do we solve the financial aid problems facing many of our students?
>
> And finally, how can we improve communications and understanding between educators and legislators who ultimately make educational policy through the appropriation of public funds?

SOME REQUIREMENTS FOR EFFECTIVE STATEWIDE COORDINATION OF HIGHER EDUCATION

Ralph A. Dungan, Chancellor
New Jersey State Department of Higher Education

Before I try to describe those characteristics and powers which I think are most essential to effective statewide coordination of higher education, it might be useful to examine briefly why it is important to have statewide coordination.

Those of you associated with the Southern Regional Education Board do not need to be reminded that state coordination has been growing throughout the United States for more than a decade. Some areas of the country, such as the Middle Atlantic and Northeastern states, have been slower in moving in this direction, primarily, I suppose, because we have tended to rely less on public higher education than some other sections of the country. Nevertheless, it is a fact that statewide coordination is increasingly the order of the day.

The phenomenal growth of higher education is a major factor in the development of statewide coordination. In the decade beginning in 1960, the enrollment in all of higher education throughout the country went from 3,789,000 in 1960 to 7,896,000 in 1968, an increase of some 207 percent. Total private and public expenditures for higher education increased from $5.6 billion in 1960 to $14.3 billion in 1967. The number of new institutions, many of them two-year colleges, increased from 1,975 in 1960 to an estimated 2,495 in 1970. This illustrates that we have had a knowledge explosion and that in order to cope with it and with the demands of an increasingly college-oriented community, we have expanded dramatically our commitment to higher education.

This growth, I believe, has altered traditional relationships between public officials and university presidents and trustees. Gone are the days when a public university's business might be transacted through casual conversation or when the problems that we were dealing with involved thousands of dollars rather than millions, or hundreds of students rather than thousands. In short, like so many other aspects of contemporary life, higher education has become an extremely large enterprise with great impact on society.

From the standpoint of the public, the taxpayer, the legislators, and the state government executive, higher education has become a large consumer of public resources, claiming as never before 50 percent or more of some state budgets. With the large number of institutions involved and the demands of increasingly complex and costly programs, society has attempted to find some mechanism to sort out the important from the unimportant, the essential from the nonessential and produce an integrated, sensible plan of development.

No longer, I believe, do legislators have confidence in their own unaided capacity to make judgments among the competing demands of institutions or groups of institutions, or among higher education, other forms of education, and the whole range of competing social demands (such as welfare, health, housing) which are legitimate claimants on the public purse. Therefore, for information and assistance, they tend to look to the new statewide higher education coordinating agencies when making the difficult judgments involved in determining priorities among the many conflicting demands.

While higher education's demand for an increasing share of public resources undoubtedly has been a heavy contributing factor to the growth of statewide coordination, I believe there is another even more compelling impetus. I mention it because of its intrinsic importance as a factor in the growth of statewide coordination and because a sensitive understanding of the principle involved will prevent misunderstanding by legislators and

institutional representatives about the role of the statewide coordinator. The not very earthshaking characteristic of higher education to which I refer is that it is difficult, if not impossible, to expect that any institution will moderate its own ambitions or restrict its efforts without some external authority to insure that its programs are consistent with a rational allocation of resources within a state. This is undoubtedly a truism; one is hard-pressed to think of a time in history in which any institution disciplined itself for the good of others. Under contemporary conditions, there are many competing institutions within our states, and the resources over which these agencies contend are vast. It is thus inconceivable that they would be permitted to operate without some sort of central coordinating authority, able to intervene in terms of an overall plan of educational development.

The third major impetus toward statewide coordination, I am sorry to say, is an apparent loss of credibility which many colleges and universities have suffered over the past few years. As resources become more sought after and other competing demands such as health care, problems of urban blight, and needs of the lower schools, all begin to intrude mercilessly on the public consciousness, the public and the legislators seem to turn an increasingly skeptical eye toward the university. This is very unfortunate and, I believe, to a large measure results from some university people and public officials having perpetuated the myth that the university could solve all human problems. This is obviously not true, and the public increasingly questions whether universities have lived up to expectations, however unrealistic.

Unfortunately again, this disenchantment with the university leads to a loss of confidence and material support, ranging from disapprobation of student disorder to an inefficient use of physical resources. Whatever the reasons for any given citizen's or legislator's loss of confidence, I have no doubt such a loss contributes considerably to the growth and strengthening of the state higher education coordinating agencies. It is to the credit of many state legislatures that they have recognized the need for a more or less neutral agency outside the legislature itself to evaluate and coordinate performance in higher education. In this sense, I am always struck by what appears to be shortsighted resistance on the part of some institutions to any involvement in their affairs by statewide coordinating agencies.

But the focus of this discussion is not on the why or the desirability of statewide coordination but on what are the conditions necessary to make it effective. I shall not attempt to evaluate the coordinating mechanisms which have been established by other states or even our own in New Jersey. Rather, I shall try to set forth those elements which I think are most essential to effective statewide coordination, and try as I go along to touch on some of the obstacles to attaining these important conditions.

Political Consensus

By far the most important precondition to effective statewide coordination in higher education is an adequate public or political consensus on the desirability of such coordination. It is obvious that ideally the agreement to embark on statewide coordination should be a matter of accord between the institutions which are to be coordinated and the political authority (legislature and/or governor) which seeks to affect coordination. Similarly, professional associations of educators and citizen groups should ideally be involved in a decision to move toward structural change involving statewide coordination. As desirable as is wide involvement by all affected, the really critical element is a firm and explicit statement of the policy of the governing authority and an accompanying set of statutes or regulations which set out with sufficient detail and clarity the functions which the coordinating agency is expected to perform.

All of this seems quite obvious. But more than a few of the existing state coordinating authorities throughout the country are relatively ineffective partly because their function is not agreed on either by the institutions or by the political authorities who created them. It is rarely easy, and sometimes not possible, to express in legislative or other forms the kind of public consensus on the need and desirability of statewide coordination which I think is so essential to the success of such an enterprise. But if I were advising anyone on this subject I would certainly urge the expenditure of an extra measure of time and effort to develop this consensus.

Assuming that such a coalition, even an imperfect one, succeeds in overcoming opposition, it is

still necessary to be cautious. Those who might be opposed to the formation of a relatively strong statewide coordinating agency would, having failed in their efforts to stop the creation of such an agency, most naturally turn toward a limitation of its authority. This is most likely to occur in states where one or even several large public and/or private institutions have dominated the higher education scene. Usually such large institutions have established relationships with public authorities over the years, salted as these relationships sometimes are with football tickets and other emoluments which the university can dispense. Obviously a large and dominant university would, and rightfully so, see the creation of a statewide coordinating agency as an instrument for the diminution of its power and educational hegemony within the state. Others also, fearing a curtailment of their legitimate autonomy and creativity, might tend to resist the establishment or strengthening of a statewide coordinating office.

Desirable Powers of Statewide Coordinating Agency

There are three general areas of responsibility with which a statewide coordinating agency should be charged. These three areas of power should be shared with the institutions in my opinion. They involve budgeting, planning, and program review. This is a convenient place to introduce the distinction between the governing and the coordinating board. In the former, a single board makes all important policy decisions with respect to programs and budgeting for a number of institutions within a public system. Under a coordinating board, a considerable amount of the authority and decision making is decentralized to the local campus with the central board or coordinating authority reviewing and setting policies and standards within which the several institutions and their trustees operate. Because I favor the latter as a matter of philosophy and advocate it as a matter of administrative practice, I shall confine my comments to statewide coordination.

Budgeting

In order to perform effectively, the statewide coordinating agency must have a budgetary review function. Ideally, in cooperation with the state fiscal authorities, general policy should be made clear to the institutions in the system. If there are standard student-faculty ratios or dollars per student for certain levels of instruction, these should be made clear to the participating institutions in the call for the budget. Within the framework of standards and policies set out by the coordinating agency and the fiscal authorities of the state, public institutions ought to be free to set their own budgets and educational goals. Where the existing standards and policies do not permit adequate flexibility, institutions should be free to request programs and monies outside the regular formulae.

Planning

Of the three essential functions of a coordinating board – budgeting, planning, and program review–planning is the most widely accepted function, probably because it means different things to different people. To the governor and to the legislator, planning provides an opportunity to get a concrete idea of what lies ahead, how many students are going to be accommodated in what kind of programs, and what the capital and operating implications are in the program outlined. To some extent planning is viewed by political authorities as a set of parameters within which the higher education game will be played. On the other hand, some persons at the institutional level look on a master plan as a means of outlining ambitious schemes and of securing an implicit commitment by political authorities to underwrite these plans. The favorite cry of institutional planners is that higher education planning in the past decade or so has invariably been on the conservative side, while our enrollments and the appetites of our young people and their families for higher education have far outstripped the conservative estimates of our predecessors. By and large this is true but does not, in my opinion, warrant an uncritical acceptance of plans produced by institutional planners.

Ideally, effective systemwide planning involves acceptance of responsibility by institutional authorities to view their aspirations in the context of overall needs in higher education and to consider intelligently other social needs. Practically, this is very seldom the case, especially if there is a designated central planning agency. The tendency is for the institutional planner to push for the most for his institution, leaving to others the responsibility to balance competing demands.

Central planning authorities can contribute to moderating institutional appetites by providing data on national trends, comparative cost information, and student demand. For instance, in New Jersey we have recently circulated to all of our institutional planners the excellent paper which Lyman Glenny presented to the Southern Regional Education Board on Ph.D. programs. Such information will not necessarily dampen the fires of institutional ambition, but those institutions with some lingering attachment to objectivity should think twice before advancing totally unreasonable plans.

In examining planning efforts of other states and in our own experience, I have been amazed to find that institutions and planning agencies alike are almost universally working with the crudest data. Moreover, this data is collected and manipulated in the most primitive fashion. If there is any area in which we need to make a substantial investment of time and effort, it is in the development of basic data systems. Not only are these data files important to coordinated planning, they are absolutely essential to effective management of resources at the institutional level. Fortunately, there is an increased recognition of the need for reliable data at all levels of higher education, but we have some distance to go before we can rest assured that our planning is based on hard fact rather than opinion.

Program Review

The final, very important power which I believe should be possessed by a coordinating agency is the authority to review and approve new programs. I would also include the power to review the quality of and necessity for established programs.

While it might be argued that the budget review authority provides a sufficient check on new programs which are unjustified or go beyond the master plan, the budget is at best a weak instrument, especially since we have a way to go before program budgeting in higher education is perfected. Therefore, I believe it is desirable for a coordinating agency to have the responsibility to approve new or expanded programs in order that it may insure adherence to a state plan.

There is another equally important reason to suggest central review of new programs—the fulfillment of a statewide responsibility to insure that all educational programs meet reasonable tests of quality. Without the authority to monitor the quality of educational programs, the function of a coordinating board is shallow and insubstantial. After all, the goal of planning, budgeting, measuring, and coordinating is quality education for students. I mean to take nothing away from the record of most of our institutions' sense of professional responsibility when I state flatly that the higher education scene in the United States today is liberally strewn with half-baked, poorly supported educational programs which should never have been started.

In these remarks I have concentrated on describing some essential powers which I believe statewide coordinating agencies should possess. Stressing as I have the role and powers of the coordinating agency, I would not want to end without stating how strongly I feel about the need for equal strength, autonomy, and initiative at the campus or institutional level. It is folly, I believe, to think that educational institutions can be directed in any substantial sense from a central agency. I believe therefore in preserving essential freedom of action at the campus level, but, like other institutions, colleges and universities need critical examination. I conceive a healthy coordinated system of higher education as involving a good deal of creative tension among institutions, coordinating authorities, and legislatures. The challenge is to keep the process creative and dynamic . . . and to survive.

BASIC SYSTEM ELEMENTS FOR EFFECTIVE COORDINATION

Frank B. Brouillet, State Representative
Washington

The question for this portion of the program—"How Effective Can Coordination Be, Given Present Agency Relationships, Authority, and Responsibility?"—suggests a wide range of possibilities. The word "effectiveness" is itself ambiguous and has various meanings and connotations depending upon the frame of reference of the beholder. Certainly, effectiveness is a far different matter to the university president than it is to the legislator, the faculty member, or the state's chief fiscal officer.

In any event, for my part of the program, I propose to examine coordination and its effectiveness from the perspective of some basic elements of a coordination system. By so doing, I hope to relate effectiveness to the relationships, authority, and responsibilities of coordinating agencies.

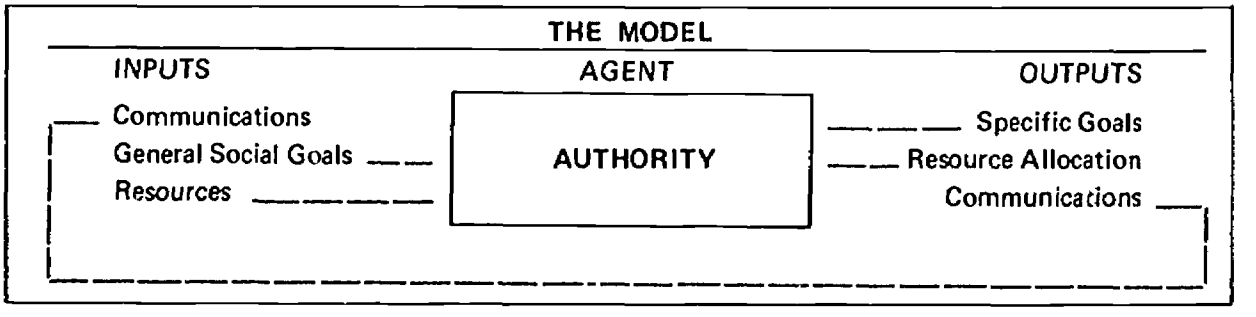
Briefly, we know that approximately 48 states have some form of coordinating agency, with all but two (Indiana and Nebraska) legislatively authorized. Only Vermont and Delaware have no central coordinating agency or single governing unit. Of the 48 states with a form of coordinating agency, 27 are defined as coordinating boards and 19 as governing boards. At this point it should be noted that my remarks will deal generally with the 27 that are designated as coordinating boards.

As would be suspected, the influence, power, and authority of these agencies vary widely; and no one arrangement stands out as a prototype. Research does tell us, however, that the typical coordinating board is made up of an average of 12 members, a majority of whom are public or lay persons. These members serve six-year overlapping terms. After this brief description the picture becomes cloudy.

Most experts would probably contend that basically a coordinating board should be a statewide board composed of lay members encompassing all segments of higher education, both public and private. This board should have the power and authority to prepare long- and short-range plans, to recommend capital and operating budgets for all segments of higher education, and to serve as the spokesman for higher education to both the public and the other state agencies.

In order to examine the key issues in effective coordination, I have developed an elementary theoretical model. This model is systemic and is based on the work of such men as Talcott Parsons, David Easton, Herbert Simon, and Kenneth Boulding. There are six elements to this model: two are inputs, goals and resources; one is the coordinating authority; two are outputs, resource allocation and goal identification; and the sixth is communication.

Theoretically, general goals and resources flow through the system and are operated upon by the authority of the coordinating agent. The results of decisions made are the system's outputs: planning or goal identification and resource allocation. The entire system is tied together by a communications network.



To make the problem simpler, I propose that we examine goals, resources, the agent, authority, and communications. These are the various elements that go into a system of coordination, whether it be a system for the coordination of higher education or for the coordination of anything else. Treating each of the parts of the model in turn allows us to isolate many of the problems of effective coordination.

In dealing with questions of *goals*, we often discover a conflict between the goals of institutions and the goals of the public. Additional conflicts arise from the competition of various institutions within the system and the need for certain divisions of labor. At this point, issues related to the social problems of the day enter to cloud our vision even further and to make effective coordination even more difficult. Nevertheless, it is the obvious responsibility of all public institutions to look at these problems and to do what they can to solve them. To the extent that the interests of the individual institutions do not coincide with the needs of the society, the coordinating agent must redefine the goals of higher education in order to make them coincide more nearly to society's requirements.

An added complication in the process of institutional goal identification is the problem of intrainstitutional conflict. Not only is there the problem of identifying the larger institutional goals, but various college and university subgroups have differing views about what constitutes appropriate institutional goals. As is evident today, the faculty, students, and administration frequently cannot agree upon what should be the overall institutional mission.

During the 1970's, we will see vast changes in the goals that are identified. During the 1960's, the basic initiative was based on a demand by legislators and governors that order and management must be brought into the higher education establishment. As a result, coordination was looked upon as a tool for elimination of unnecessary competition and program duplication. It also was seen as a method for providing orderly development and as a safeguard for the public interest.

However, during the 1970's, it appears that goals will be sharply altered from those pursued in the past. As Ernest Palola has said:

> In short, higher education faces a "qualitative crisis," a crisis evidently complicated by a gap in communication. Students, faculty, legislators, and the general public are raising fundamental questions about the basic aims and purposes of higher education. But today many planners at statewide and ins itutional levels are still almost wholly preoccupied with quantitative, physical, and fiscal problems. A major challenge to higher education is to devise a style of planning which will allow questions of educational policy to be openly debated, and the resulting decisions facilitated rather than inhibited by considerations of efficiency and economy.[1]

The conflicts between the goals entering the system from the public and those from the institutions require resolution, or coordination simply will not occur. We know that over a period of time, voluntary solutions will not work. Obviously, such resolution of conflicts will require considerable vision on the part of all those involved in the system.

A second difficulty with goal identification is that of determining a proper division of labor. Institutions have frequently opposed such clear-cut divisions. Although the literature of higher education is replete with discussions about diversity, the pressure for institutional similarity is at least as great as that towards diversity. In fact, we know that collegiate institutions are more alike than different.[2] Popular and faculty pressure still seeks to convert junior colleges into senior colleges, to have four-year institutions offer more graduate work, and to expand universities in endless horizontal directions. A major function that coordinating agencies must pursue more diligently is that of fostering among institutions the concept of diversity.

Further, in order for coordination to work, there must be some control over *resources*. If goals are decided on by state planners and resources are allocated for other or contrary purposes, planning is a waste of time. A second input to this system, then, is resources.

Several problems arise when considering resource coordination; the most obvious is that there are never enough resources to go around. Man's goals and aspirations are without limit, while the resources necessary to attain these goals are comparatively scarce. In addition, there is always competition with other state agencies and among the institutions in the system. In coordinating resources, the agency's credibility with the

legislature and the general public is a key concern. If there is no credibility, then there is a substantial likelihood that allocations will by-pass the coordinating agency and go directly to the institutions. For example, a strong lobby by a university, through its administration, trustees, and alumni association, can upset coordination if this influence is not effectively balanced by the coordination agency. Similar problems of accountability and credibility affect the competition for resources from federal programs.

Several issues emerge from this discussion of inputs. In essence, their resolution requires a balance between the goals of the public and those of the institutions and the ability to deliver the resources necessary to meet established goals. To achieve this balance, the coordinating agency must have some *authority*. It is difficult to conceive of an organization without some person or persons being in a position to require action of others. This must be authority in fact, not authority in theory. In some coordinating agencies, the authority lies with individual institutions, acting as an aggregate. This results from the fact that the institutional members–presidents of universities and others associated with higher education–dominate the actual decision making within the coordinating agency. The obvious and easy tendency is for the agency to base its decisions on the concept of "Let's make a deal: you get your medical school and I get my agricultural school and everyone's satisfied." Everything is satisfied, that is, except the public interest, because coordination does not occur.

However, the informal structure should not be neglected. Equally important to a coordinating agency is the amount of informal authority that it possesses. Too often the statutes are examined in order to determine an agency's authority. Credibility with the legislative and political process may be as critical to an agency as the statutory power contained in its legal mandate. The reaction, commitment, understanding, and support of appropriate political segments may give a coordinating agency authority and power far beyond that enumerated in law.

Two trends should be noted at this point: (1) the movement toward lay boards, and (2) the movement toward the strengthening of the coordinating agency. The vast number of coordinating boards now have a majority of public members. Today only three of the 27 coordinating boards do not have such a majority. Within the past two years, three states--Maine, Utah, and West Virginia--have changed their coordinating boards to consolidated governing boards; and Rhode Island has created a statewide board with jurisdiction over all public education. This trend follows J. G. Paltridge's 1963 study, in which he described the evolutionary movement of coordinating boards.

The authority of the agency must allow it to bring public goals into conjunction with public resources. The scope of the authority must extend throughout higher education and must include and help define the role of community colleges. It must include private institutions. Finally, the authority must be heard and heeded or coordination simply will not occur. In most states, the *laissez faire* concept of higher education is gone, because the authority of coordinating agencies is being increased or broadened.

In the model the place where authority resides is called the *agent*. This is the structure where the actual mechanical activities of coordination are performed. The key person within the agent is the executive director. Ernest Palola and Lyman Glenny both have indicated that the selection of the executive director is one of the most important decisions that a coordinating board is called upon to make. An inadequate appropriation which relegates the executive director to the level of a bookkeeper will also doom the coordinating agency to failure.

In exercising its authority, the agency must develop a product. In the model, these are called outputs. The outputs are almost obviously suggested by the inputs. Nevertheless, certain problems exist here that need to be discussed.

Primarily, the agency must carefully decide where coordination stops and individual institutional autonomy begins. How resources will be allocated in order to preserve institutional initiative and the common good is one of the most serious challenges to effective coordination. It has been the historical fear of institutions that a limitation on their autonomy will be detrimental to excellence in higher education. However, it is interesting to note that Palola, in his recent three-year study, concluded that: "On the whole, educational

autonomy and the level of performance of the colleges and universities has improved as a result of statewide planning during the period of massive expansion in higher education."[3] In short, the statewide centralization of decision-making power resulting from coordination has not diminished the autonomy of colleges and universities, as feared by the institutions. This problem of allowing institutional autonomy and initiative on the one hand and meeting public needs on the other continues to be widely discussed. This conflict cannot be resolved in this paper, nor can it be resolved in law. It can only be resolved by skill. Again, the role of the coordinating board staff may well be critical.

The final element in the coordination model is communications, or feedback. A system of communications must exist that allows the agent an awareness of the goals to be sought, the availability of resources, and the support of the individuals who comprise the group. This is the glue that holds the whole system together. In many cases, it is one of the primary failures of coordination because its scope has been so limited. Communications between the institutions and the coordinating agency have usually been frequent and effective. However, legislative liaison has been limited and public awareness or contact extremely restricted. By moving more to lay boards and, in some instances, including legislative members, coordinating boards have sought to fill this gap. In Washington, we have developed what we consider a good communication vehicle. Members of the executive and legislative branches of government, as well as representatives of the institutions and the public, are included on the coordinating council. Whether it will work in practice is another question. As Glenny has noted, it must be recognized that the coordinating process is a political one involving powerful social agencies such as colleges and universities, with their intellectual independence and autonomy on the one side and the central policy-formulating authorities of the governor and the legislature on the other. The coordinating agency, situated between these two powerful forces, must communicate with both in order to achieve satisfactory solutions to the problems of higher education.

As we examine some of the problems involved in effective coordination, it might be well to outline what actually has been accomplished during the last decade by coordinating boards. In general, we can say that the boards have: (1) controlled expansion of new campuses and new programs; (2) stimulated the quantity and quality of higher education planning; (3) expanded opportunities to meet new educational and social needs; (4) extended educational offerings both horizontally and vertically; and (5) brought order into higher education finance.

On the other hand, much remains to be done. Coordinating boards have generally fallen short of expectations by not: (1) eliminating unnecessary duplication or abolishing obsolete programs; (2) involving private higher education institutions in the planning process; (3) defining clearly the role of the community colleges; (4) developing institutional differentiation; and (5) giving sufficient attention to the quality of higher education.

Footnotes

[1] Ernest Palola, "Academic Reform, A Challenge for Statewide Planners," *The Research Reporter*, The Center for Research and Development in Higher Education, Vol. V, No. 2 (1970).

[2] See *Institutions in Transition: A Study of Change in Higher Education*, by Harold L. Hodgkinson (Berkeley: Carnegie Commission on Higher Education, 1970).

[3] Palola, *op. cit.*

FEDERAL PROGRAMS AND LOCAL PLANNING FOR HIGHER EDUCATION

John F. Morse, Director
Commission on Federal Relations
American Council on Education

When Winfred Godwin invited me to speak to you this morning, I accepted with some reluctance. I am becoming increasingly fearful that eight years in Washington, challenging and exciting though they have been, have blurred my vision to the extent that I cannot see problems with the clear perspective one possesses, indeed must possess, on a university campus. Washington is a remarkably parochial city, even though it is theoretically the nation's communications networks center. Sometimes it seems to me that the Anacostia and Potomac Rivers serve as membranes, permitting, by a kind of osmosis, ideas to flow out, but not in.

Thus I am not sure that I can address myself adequately to the topic of this session--"How Does the Federal Role in Higher Education Affect Statewide Planning and Coordination?" Probably only you, and of course people like John Millett, can answer that one. But perhaps I can be helpful in your deliberations if I attempt to interpret, rather than advocate, current Washington thinking.

I might start by suggesting that the very phrase "Washington thinking" is an elusive one, and some might even call it a contradiction in terms. Washington thinking by whom? At what point in time? For how long? Subject to what? Four years ago I think I could have told you with some confidence what the federal government was doing and proposed to do in the field of higher education. I cannot do so today.

Four years ago I would have said that three administrations one Republican and two Democratic--and several Congresses, through enormous bipartisan votes, were putting together a structure that would assure the continued strengthening and growth of higher education. There were those who charged that the structure was being built piecemeal, without architectural design--a few bricks here, a beam or two there, with a few amusing but useless gargoyles thrown in for good measure. In a sense the charge was a fair one, but many of the world's great cathedrals were built in just that way.

There is no need to take up your time with a list of all the items that went into the structure, but let me discuss one or two for purposes of illustration.

With the establishment of the National Science Foundation in 1950 and the simultaneous burgeoning of the National Institutes of Health, the federal government seemed clearly to commit itself to the long-term support of graduate education and research. Perhaps the rationale for this commitment was never clearly stated, but one could discern it. Whatever the founding fathers may have thought of the primacy of state and local responsibility for education, they could scarcely have foreseen the extent of the nation's need for highly educated manpower and for basic scientific research, nor the enormous expenditures entailed. Neither could they have foreseen the phenomenon of the itinerant scholar, educated in Boise or Lansing or Chapel Hill and working in Cambridge or Houston or Palo Alto. The graduate teacher-researcher-consultant-entrepreneur was a national asset inclined to gravitate with his colleagues to the nation's great industrial and scientific centers. It seemed--it still seems--appropriate that the cost of his education be underwritten largely by federal rather than state or local tax dollars.

But about 1958 the scenario was changed. During the Eisenhower administration the concept developed that if the nation was truly to build for the future, we must develop in all regions of the country centers of intellectual excellence--

scientific and other—so that there would no longer be a concentration on the East and West coasts and a few isolated spots in the Midwest. The whole thrust of the National Defense Education Act's fellowship program was to encourage institutions not then engaged in Ph.D.-level work to get into it. Implicitly if not explicitly, the Harvards, Berkeleys, and Chicagos were ruled out. This program was for Montana State, Ole Miss, and the University of Maine. Even though the University of Wisconsin had a German department rich in excellence and starved for students, the goal was to set up a new Ph.D. program in German in Kansas! I am not criticizing the new approach which was designed for the future. I merely report it.

There followed a series of legislative acts and appropriations, through different committees of the Congress, to push ahead along this line. NASA, which could do no wrong in its early years under Jim Webb, proudly announced a traineeship (a euphemism for fellowship) program that would produce 1,000 Ph.D.'s a year in disciplines related to space. Since space required every kind of specialist from public relations "tub thumpers" to materials engineers who could figure out how to protect astroships and astronauts from incineration, almost any program could qualify. And almost every program did, with benefits distributed geographically, strategically, and to a degree politically. The National Science Foundation, originally limited to supporting excellence where it found it, moved rapidly toward the NDEA-NASA concept. Its nationally and competitively awarded fellowships, with the winners free to go wherever they chose, all seemed to concentrate in a handful of institutions on the East and West coasts. The antidote was clear. If traineeships were assigned to institutions, broadly based geographically, which could themselves award them, wealth would be spread and additional centers of graduate education and research could be developed. I could go on. The distribution of NIH training grants followed much the same pattern. So did smaller programs in other agencies.

Although there were certain "pork barrel" aspects in these developments, I think we were on the right track. On the other hand, it should be noted that all of this was done with little regard for potential nonfederal sources of support and with little concern for state or regional planning. Since I am speaking in the South, let me shift the locale and ask a question. Given the state and local resources available, and assuming no federal assistance, how many first-rate graduate centers could be supported in the area comprising North and South Dakota, Wyoming, Montana, and Idaho? Probably only the answers one or none would earn a passing grade, yet with federal assistance, ten are attempting it and have been successful. In those five states a total of 26 Ph.D. degrees were awarded in 1958. Ten years later the number had risen to 191—almost an 800 percent increase.

But now what is happening? Everything we have built in the past twenty years, and particularly since 1958, is in danger of being dismantled. The NASA traineeships are a thing of the past. The federal budget calls for no funds for NSF traineeships after this year. The administration proposes to discontinue the NDEA fellowships after the academic year 1970-71. Three years ago these three programs were supporting 24,132 students in some 225 institutions. Conceivably, as the administration seems to intend, future graduate students will be willing to borrow the funds necessary to maintain themselves in graduate school. But along with the student stipends provided by the three programs, there went as direct payments to the institutions a total of $40,320,000 to help underwrite the cost of providing graduate education.

Private institutions, and indeed some public ones, have long understood the policies of the great philanthropic foundations. They have understood, or should have, that foundation executives are unwilling to make long-term commitments. They have been willing to give institutions a start on some new pet project to provide the "seed money," or funds for experimentation or occasionally the bricks and mortar to house a new program. But they have always expected that the ship, once launched, would sail on its own. It has been essential, therefore, for institutions to consider the availability of long-term financial support before approaching a foundation for initial support. In approaching foundations, therefore, institutions have been forced to make a careful assessment of their own priorities.

It now appears that the federal government is proposing to act like a foundation rather than serve as a reliable source of continuing support for

programs clearly essential to the nation's health and well-being. Under these circumstances it is hard to see how state and regional bodies can engage in planning in any rational way.

In 1963 the Congress came to the conclusion, after several years of debate, that federal assistance must be provided for the construction of new academic facilities, if we were to come close to meeting the needs of enormously increased numbers of college-age youth. It flatly rejected the notion that such facilities could or should be financed exclusively through loans, for the obvious reason that the debt service on such loans would have had explosive effect on student fees or state tax revenues or both. The legislation could not have been passed if it had not provided large sums for direct grants. In 1967 and 1968 just over $1 billion in facilities grant funds were appropriated by the Congress, and we were well on our way toward bridging the facilities gap. Now it is proposed, through budgetary rather than legislative action, to terminate the grant program and rely exclusively on loans. This decision has been made in the face of an official Office of Education task force report that shows a need for new facilities costing $14 billion between now and 1974. How does that strike your planning Ouija board?

In every state there has been established, by some kind of official action, an academic facilities commission broadly representative of all segments of higher education - public and private, secular and sectarian, from lower division to postdoctoral institutions. Its responsibility has been to determine orders of priorities in meeting needs for academic facilities grants and undergraduate teaching equipment. The teaching equipment program is either dead, mummified, or in suspended animation, and the present Congress is about to determine which. The facilities grant program is in roughly the same shape. One interesting feature of the 1971 budget is that it provides for continued support for the commissions with no support for the programs they were created to administer. As a former university administrator I have always thought the ideal post would be that of president of an institution with no faculty and no students. Now I'm considering applying for a post as director of a state facilities commission.

Three years ago the ACE Commission on Federal Relations issued a statement entitled "The Federal Investment in Higher Education: The Need for a Sustained Commitment." At the time, we believed we were enunciating a platform on which the nation could agree--without regard to political affiliation, without regard to labels like conservative or liberal, new federalist or states-rightist, hawk or dove, budget-balancer or free spender. We saw no way by which intelligent planning could be achieved unless one could assume that the government, in undertaking certain programs, was at the same time undertaking certain long-term commitments. In fact we stated:

> It is clear that the federal government must continue to depend heavily on higher education to undertake a multitude of tasks. Higher education must, in turn, rely heavily on the government to provide strong and sustained financial support. In times of crisis it may be possible to postpone or slow down programs which, while highly desirable, are not vital to the nation's welfare. But the duties that higher education must perform cannot be set aside. Young people must be taught; manpower must be trained; faculties must be kept intact; answers to complex problems must be found. If higher education is to plan efficiently and accomplish its tasks, it must count on a steady flow of support. The fitful turning on and off of a faucet is not a method of economy; it is a guarantee of waste, both in dollars and in human resources.

What has happened, I think, is that in the field of education, each new administration has felt it must have its own stamp on education legislation. We faced this to a degree with the Kennedy administration, to a lesser degree with the Johnson administration, although it was there, and now inordinately under the new administration. Believe it or not, the 1971 budget calls for the total elimination of 15 existing programs in higher education with authorizations totaling $2,348,500,000. The rationale argued, without documentation, is that the programs have either failed or are outmoded.

I would not argue that every program should be maintained because it exists. To do so would suggest that each new administration must be frozen into the programs of its predecessors, and this would mean that all conceivably available funds would be earmarked, leaving nothing for new initiatives. On the other hand, it is madness to discard programs merely because they originated in a previous administration. Mr. Nixon could telephone the moon because Mr. Kennedy determined we would go there. If we had shifted our space goal

in 1969, we would have had nothing but a lot of hardware floating around in space. That, I fear, is likely to be the fate of some of higher education.

My conclusion is that you cannot perform your planning function unless there is sustained Washington thinking on what the government's role must be. The problem is not primarily in the Congress. In fact I suspect that very few of the programs now resting in death row will be executed; I expect a Congressional reprieve. But the point is that until successive administrations recognize that education needs the same kind of sustained support expected by our armed forces, or at a lesser level by our space program or the Atomic Energy Commission, we will have this kind of trouble. We don't build a huge standing army in one administration and rely on the National Guard in the next. Neither should we foster an exponential expansion of higher education in one administration and go back to Mark Hopkins' log in the next. Somehow all of us concerned with education must get this message through.

Let me move now to some other problems you must face as statewide planners. Again I remind you that I am seeking to interpret rather than advocate. Institutions of higher education throughout this country have had a long history of virtually total autonomy. I spend my life dealing with their presidents. And I must report that, until the recent budgetary crisis, they have been almost unanimous in their satisfaction with most of the administrative procedures embodied in the federal programs. They and their staffs like dealing directly with the federal bureaucracy. They find it easier, more compatible with their own goals, and more effective than dealing through several statewide coordinating and planning layers before they reach the ultimate source of funds. I am not arguing that they are right; on the other hand, I am not sure that we would ever have developed as strong and diverse a system of higher education in this country if institutions had not, during the last century and a half, been largely free to set their own goals, steer their own course, and, in a sense, determine their own laws of navigation. And I think they are unlikely to abandon that independence willingly. You can distribute any number of pamphlets on the economic necessity of planned parenthood in a rabbit hutch, but you're not likely to change a rabbit's habits. It's just not in his nature, and he wouldn't be a rabbit if it were.

On the other hand, to advert to the crisis th may be impending in financing graduate educati one can argue that it might have been less severe there had been more state and regional planning its expansion during the 1950's and 1960's. Su port of research in small chemistry is one thing; high energy physics is another. Clearly as resear becomes more complex, more sophisticated, a more expensive, there must be some kind division of labor. The problem is how at the fede level one reconciles the need for such planni with the demand for and the values inherent institutional autonomy. The difficulty is com pounded by the problem of the private institutio I believe most of the leaders of our great publ institutions would agree that if our private instit tions, now backed against the wall, were to topp over, public higher education would itself be th weaker for it.

One proposition we are sure to hear more of, ever economic stability returns, is a sharing federal tax revenue with the states. For mar domestic programs this may be the ideal solution am not competent to say. But as a method financing higher education it is likely to be resiste strongly. It is not entirely clear whether the stat in this instance are the governors, or the legisl tures, or superboards, or commissions. But wha ever the case, the proposal would seem to pla control over virtually all funds and, therefore, ov the institutions themselves in a single body. If on believes, as I do, that the federal government mu carry a markedly increased share of funding bot public and private institutions, the method b which the funds are provided becomes crucial. It the opinion of most persons in higher educ tion that the revenue-sharing concept, attracti because of its simplicity and perhaps for othe reasons would be damaging to all of higher educ tion and perhaps disastrous for private educatio

It is my impression that the state commission created as a result of the Higher Educatio Facilities Act of 1963, have administered Title I o that act and the subsequent undergraduate teach ing equipment program to the satisfaction of mo segments of higher education. Whether this kind o mechanism would serve equally well for othe federal programs is open to some question. Coul they, for example, function effectively in program

where a determination of quality, as opposed to quantity, is concerned?

The question to which you are addressing yourselves today is not an easy one. It is almost inevitable that some will regard it first of all as a power struggle. The real and understandable desire on the part of each institution for maximum autonomy and the right to self-determination is pitted against the equally compelling insistence that only through rational planning can the limited resources available meet the almost unlimited social demands imposed on higher education. There is no clear view in Washington as to how the two needs can be reconciled. It will require men of goodwill representing both points of view to achieve that reconciliation.

THE FEDERAL IMPACT UPON STATEWIDE PLANNING AND COORDINATION

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Without doubt, there is a federal impact upon statewide planning and coordination of higher education. Unfortunately, I must set forth my thesis in this paper as simply this: the federal impact upon statewide planning and coordination is uncertain, disruptive, and nonsupportive. In fact, it is no exaggeration to assert that the federal government, which supposedly recognizes the important and indeed superior role of the states in matters of education, has yet to recognize the existence of state government planning in higher education.

In making these observations, I must speak from the point of view of my own experience of almost seven years as a state government planner in higher education. It is a point of view which is based obviously upon the proposition that statewide planning and coordinating are essential activities and are being performed with some semblance of competence by our state governments. It is a point of view which does not express any anti-federal government position. It is a point of view which pleads for federal-state cooperation in statewide planning and coordination.

I think the first observation to be made is that the federal government has lacked and still does lack a clear, carefully prepared, and definite purpose in its relation to higher education. In the absence of a plan and a program of federal objectives in higher education, it is little wonder that federal and state government relationships should be strained and often in conflict.

Without attempting to trace a comprehensive history of federal interest in higher education, let me suggest three major developments which have occurred since the end of World War II. Largely as a result of the university contributions to the science and technology which so greatly aided the Allied cause during the war years, the federal government continued the university-government partnership in research after 1945. For most of this period, federal research interest was concentrated on matters of defense weapons systems, atomic energy, and space exploration. Only little by little did general research support of universities begin to grow, and even this was often "sold" to our federal legislators as somehow important to our national prestige and our national survival.

In the biological and medical sciences, the motivation may have been somewhat different. There were, to be sure, outstanding medical achievements during World War II, achievements which probably in an equal period of time saved as many lives in the United States as we lost in the battles of the war. These achievements probably encouraged the decision of the federal government to support health-related research. But the presence of remarkable individuals in the Congress, disposed for various reasons to encourage health research, certainly did much to bring about the amazing growth of federal research expenditures for health.

After 25 years it is possible to draw certain conclusions about this federal government excursion into support of university research. This support became the predominant factor in the development of university research activity. State governments supported instruction; the federal government supported research. The two activities, although interrelated in scholarly concern, were independently conducted. Research, moreover, became associated with technology and economic growth; its incidence or geographical distribution then became a governmental, which is to say a political, concern. Research activity tended to attract the best academic brains and to be equated

with academic excellence. There emerged a rivalry among states and among universities for the research dollar. It seems likely, as one government report concluded, that research activity tended to denigrate undergraduate instruction. Then as federal military, financial, and political problems were compounded because of the Vietnam War, the expansion of research support came to an end, and university acceptance of federal research support came under sharp attack within the academic community itself.

One other very important aspect of federal research support must be mentioned. In extending research support to universities, federal granting agencies professed to be guided by qualitative standards which were applied equally to privately sponsored and publicly sponsored universities. But when this federal research support began to slow down, many private universities found themselves involved with high-priced faculty members, extensive facilities, sizeable instructional programs at the doctoral degree level, and numerous graduate students needing assistance. Caught in a budget squeeze resulting from federal government activity, many of these private universities turned to state governments to assist them in maintaining their position and their income.

I think it may also be said in fairness that the economic plight of the undergraduate, separate liberal arts colleges has been compounded in the past twenty years because of federal support of research. Faculty salaries were increased because of the competition of universities for a limited supply of faculty talent. Young faculty members preferred appointments at the institutions where research activity was carried on. The separate liberal arts college had to find endowment and gift income in addition to increased student fees in order to maintain its existence. By the end of the 1960's, more of these private, separate colleges were turning to state governments for financial succor.

Lest I be misunderstood, let me assert emphatically that federal research support has made possible substantial American intellectual achievements in the past 25 years. This research support has created academic excellence in this country. This research support is essential to the future of American higher education. But let's not kid ourselves into thinking that this federal research support has had no impact upon state planning and coordination in higher education. And let us not kid ourselves into thinking that federal agencies have displayed any great concern or given any particular attention to the impact of federal research support upon state government.

In 1958 the federal government inaugurated a new era in federal-state relations in higher education. This was the year in which the National Defense Education Act was passed. There were several titles in this law with special application to institutions of higher education. Title II provided for student loan funds to be expended through individual institutions of higher education, private and public. Title IV provided for fellowship funds to be allocated among institutions of higher education for new and expanding doctoral degree programs. Title III, Title V, and Title VI provided for grants to institutions for institutes and workshops to upgrade elementary and secondary school teaching in science, mathematics, and modern languages, and to improve student counseling. Title VIII also had its impact in providing for federal funds to help encourage state government efforts in the field of vocational and technical education.

There were several complications to the activities engendered or expanded by the National Defense Education Act of 1958. Although with one exception this new statute represented once again a partnership between the federal government and individual institutions of higher education, the law was not without its impact upon state government. And in the one title, Title VIII, where the existence of the state governments was acknowledged, the requirement for one state agency to handle both vocational education and technical education funds had an unfortunate impact upon state governments. This provision of law confused state administrative organization and inhibited a clear-cut distinction between vocational education as a function of secondary education and technical education as a function of higher education.

In the first half of the 1960's two additional pieces of legislation, the Higher Education Facilities Act of 1963 and the Higher Education Act of 1965, were approved. The first statute provided grants and loans for the construction of academic facilities. The other statute provided grants for instructional equipment, provided grants for continuing education programs, and introduced

federal financial support for two more student aid programs: the educational opportunity grants and the work-study program. In addition, the Higher Education Act of 1965 authorized federal expenditures to assist college libraries, to assist so-called developing institutions, to assist improvements in undergraduate instruction and teacher education and graduate instruction, and to encourage education for public service and the development of "networks for knowledge." The programs of undergraduate facility grants, of continuing education grants, and of equipment grants made use of state government agencies in higher education. The other programs, such as the graduate instructional facilities and the student aid support, continued the arrangement of direct federal agency-institutional relationship.

If this survey of federal government interest in higher education were to be complete, it would be necessary to trace the halting steps by which some support has been provided for instructional facilities, and now for instruction, in medicine. Also, some acknowledgment should be made of the State Technical Services Act of 1965, another venture into federal encouragement of the public service function of higher education. It would also be instructive to trace the story of the vocational-technical education laws of 1963 and 1968. There are some other ramifications, such as that of educational television. All of these involve too many details to be explored here.

When I began this historical survey, I had propounded a particular thesis: that federal government activities presented almost no pattern of a concerted policy or program in relation to higher education. I think the record will sustain this proposition. The federal government has been interested in research support, in student financial assistance, in construction, and in certain public service activities. There has been some operating support of instructional activities in technical education and in medicine. No matter how carefully one examines this record, one finds no pattern in all this array of undertakings, unless it is a pattern of the most politically feasible or politically least objectionable endeavors.

Indeed, I have been present in both private and public conferences where United States senators and certain administrative officers have asserted that institutions of higher education were themselves to blame for federal inadequacies in higher education policies. It was argued that the failure of higher education interests to unite in presenting common positions on policies and programs had hampered and indeed prevented the development of definite objectives for federal higher education activities. The obligation for such development, it was implied, was not the task of federal officials. It was the federal obligation only to respond to the clearly defined needs presented by the higher education community itself.

Now, of course, the fact is that there isn't any higher education community in the United States. We sometimes speak glibly about the higher education "system" in this country, but, of course, there is no such thing as a system. We also speak of the variety and diversity of higher educational enterprises. This is true enough, and the diversity of interests among these enterprises is clear to any careful observer. This diversity is recognized in the existence of at least six major organizations of institutions with offices in Washington, not to mention at least a dozen other organizations who claim to speak for higher education in some particular field.

Rather than assess the blame for the current situation, let us at least agree that federal activities themselves in higher education present a varied pattern in which it is difficult to discern any definite strategy or purpose. Obviously also this circumstance must necessarily complicate the life of the state government planner who seeks to accommodate the federal role in his own planning efforts.

In the last four years, a new element of confusion has been introduced in the federal activity in higher education. This new element is confusion about funding, about appropriations. Many persons outside government circles do not understand the difference in the federal process between an authorization and an appropriation. Moreover, the Congress in an effort to strengthen its own role in relation to the President and the bureaucracy has hit upon a new technique—the limited authorization. It is customary in many kinds of legislation today, especially in education and similar fields, for the Congress to enact bills which authorize government programs for a specified period of time, most commonly three or five years. At the expiration of this period, the

Congress must enact another authorization or the earlier authorization expires and the programs set up by the previous law are automatically terminated.

This device of a law with a limited period of authorization is a useful technique for asserting congressional supremacy over the executive branch and the bureaucracy. But the device is also one which helps to crowd the legislative calendar, prolongs legislative sessions, and introduces considerable uncertainty in the continuity of federal programs in the field of higher education. If for any particular reason--congressional dislike of an administrative personality, legislative concern about campus unrest, or public criticism of some program--the Congress cannot agree upon an extension of the authorizing statute, then the federal program is under sentence of death.

I might add one other factor which affects consideration of a bill extending authorization of an educational program. Even if there is legislative disposition to extend the legal authorization for a program, the Congress may well introduce restrictive provisions which affect its operation. No one can properly protest legislative interest in how programs are administered, but programs also become increasingly expensive to administer when more and more details of operation are written into legislative directives. And, of course, these uncertainties about administrative discretion introduce still another complication in federal government-higher education relationships.

This concern with the provisions of authorizing legislation is only the beginning of the administrative process. There is still the annual appropriation battle to be waged. Moreover, in the nature of the legislative arrangements for consideration of proposed laws, bills enacting substantive provisions of law are assigned to the substantive committees, while appropriation bills go to the two appropriation committees of the Congress. Ordinarily there is no overlap of committee membership, although the unique status of Senator Lister Hill was an exception to this generalization. It has been my observation that Senator Hill's role of leadership in the Senate was of greater benefit to health legislation and appropriations than it ever was to educational legislation and appropriations. The reason for this circumstance is, of course, obvious. But appropriation legislation in the Congress means that administrative activities must come under the close scrutiny of still another group of legislators, and their attitudes toward higher education in particular may or may not be similar to those of legislators who have considered the substantive legislation.

Moreover, although both the House and the Senate have rules which forbid the enactment of substantive laws as parts of an appropriation measure, the rule is more often honored in the breach than in the observance. The consequence is that frequently still additional instructions are given to administrators in the form of restrictions upon the obligation of funds or even in the form of admonitions set forth in an appropriations committee report. Such admonitions, although lacking legal sanction, are nonetheless ignored only at the peril of committee retaliation the next year.

To all of these normal hazards of the legislative process have been added in the past four years the complications of federal budgetary and economic policy. I think it is no exaggeration to say that both the Kennedy and the Johnson administrations discovered that their international interests and commitments came into conflict with their domestic aspirations. The conflict was revealed above all else in the budget process, where government spending, taxation, and surplus or deficits have a profound impact upon employment, production, wage rates, and price inflation. As expenditures in the Vietnam War rose, the federal budget had to have increased revenue or run the grave risk of promoting economic demand in excess of the capacity to produce. Inflation based upon a limited supply of goods, we have discovered, feeds still another inflation in wage adjustments which adds further push to rising costs and rising prices. Good domestic intentions outran the realities of federal budget potential, and helped produce the present conflict in America which now demands that domestic programs be given priority over international assistance.

I point out these aspects of federal government activity because the reduction or stabilization of federal expenditures for higher education have their necessary impact upon state government planning. Just as we enter the decade of the 1970's with still another 75 or 80 percent expansion of student enrollment, we find the higher education facilities grant program practically ended. The

federal government may decide to withdraw from the construction of instructional facilities for higher education institutions, but no such option is available to state governments. On the contrary, state governments must now find some means to expand their construction financing or fall short in providing an expanding opportunity for post-high school education.

Or let us look for a moment at yet another general area of federal government activity: student aid. As I have already mentioned, Title II of the National Defense Education Act of 1958 provided for a low-cost student loan program, which has been surprisingly popular. Then in 1965 the Higher Education Act added several new forms of student financial assistance intended primarily to reach students from families of low income. These new programs included educational opportunity grants and work-study payments, along with "talent search" and "upward bound" efforts to encourage certain disadvantaged students to undertake higher education. A federal loan guarantee program was added to the earlier direct student loan program.

Under the impact of Vietnam financing and the economic policy of reducing inflationary pressures, the federal government has had to curtail its financial commitments for student loans, educational opportunity grants, and work-study payments. The difficulty, of course, is that programs for blacks and for students of low-income families simply cannot be turned off and on in accordance with the needs of economic policy. When expectations are aroused among disadvantaged groups in our society and then are suddenly dampened with the word that it is not financially sound for the federal government to honor its promises, this action is bound to be interpreted as just another false hope held out by the "establishment." And as college and university administrators will tell you, black students are little concerned with niceties of governmental jurisdictions and intricacies of appropriation processes. Rather, these students expect promises to be fulfilled, if not in one way, then in some other way.

The consequence is that on top of other complications, state government, because it bears the primary burden of higher education instruction in this country, is expected to take on the task of financing student aid as well. Thus federal good intentions end by becoming another state government appropriation problem. The state government planner, as well as higher education administrators, finds himself harassed by additional demands which are difficult to fulfill.

I think many persons in higher education are beginning to wonder whether or not federal interest and concern with higher education is reliable. The state government planner sees federal activities in higher education as tending to be incidental or peripheral to his own basic concern. The federal interest in research appears to be incidental to a major preoccupation with national defense. Other federal activities in higher education seem to be incidental to preoccupation with the welfare problems of society. And in a conflict between the economic demands of national security and higher education, we have had a convincing demonstration in the past four years of which priority receives the first consideration.

Finally, I wish to mention another concern of the state government planner which is complicated greatly by federal activity. No aspect of higher education planning on a statewide basis is more troublesome than that of determining the role of individual state sponsored and financed colleges and universities in graduate education, especially education at the doctoral degree level. Up to the end of World War II, state governments individually financed several different kinds of institutions with a fairly clear-cut distinction among them. Apart from junior colleges, this structure of state public higher education institutions usually consisted of a comprehensive state university, a college of agriculture and mechanic arts, several teachers colleges, and sometimes one or two liberal arts colleges.

After the end of World War II, this structure began rapidly to change. Under the impact of a large increase in students and with the advent of faculty domination of much internal institutional planning, the college of agriculture and mechanic arts became a second comprehensive state university, and the teachers colleges became general purpose colleges and then general purpose universities. Municipal universities tended also to become new state universities. Indeed, it is no exaggeration to say that state planning in higher education became a state necessity because all of a sudden

state governments found themselves confronted with the expectation that they would finance a whole array of comprehensive universities rather than the fairly well defined structure of differentiated institutions which had existed before 1945.

I believe it is not unfair to say that the federal government contributed substantially to this complexity in state higher educational planning. The federal government by its extensive support of research did in effect give primary encouragement to the development of doctoral degree programs. Faculty members receiving research grant support were able to integrate this activity with their university setting only by expanding instructional effort at the graduate and especially the Ph.D. level. Research assistants were found primarily by recruiting and supporting graduate students. Furthermore, faculty members were able to rationalize their research activity within the university framework only by pointing out that research was an essential part of instruction at the doctoral level.

In addition, prestige in the academic world after 1945 quickly came to be associated with graduate programs at the doctoral degree level. Because of the prospective enrollment demand of the 1960's and because of the continuing rapid expansion of federal research support, especially after Sputnik in 1957, the demand for doctoral degree graduates seemed almost beyond calculation. Title IV of the NDEA in 1958 called for an expansion of doctoral degree programs through federal fellowship awards to institutions. Further federal effort to advance graduate instruction was authorized by the Higher Education Act of 1965.

In this federal interest in graduate instruction, almost no attention was paid to state planning. Federal agencies made their fellowship grants, their graduate facilities grants, and their research grants directly to institutions. In the process originally these federal agencies paid no attention whatsoever to the existence of state government planning and coordinating agencies. If there was a state master plan for higher education, this fact was of little interest to federal government officials.

In fairness, I must say that some federal officials did begin slowly and partially to concern themselves with trying to cooperate with state government master plans. But it is also fair to say that for the most part the federal government has not looked upon its concern with graduate education as a matter calling for federal-state cooperation. On the contrary, federal encouragement of graduate education has proceeded independently of state planning.

Yet here also it has become apparent in recent years that graduate education is going to be supported mostly by state governments. Thus the state planner is confronted with the increased pressure of faculties and institutions for graduate study and must try to find some rationale for state universities generally to be involved in graduate education. And obviously the state planner must cooperate with state chief executives and legislators in finding the financing needed by graduate education.

I have heard faculty members and others in a state institution whose role as a comprehensive state university antedates 1945 argue vigorously that no other state institution should award the Ph.D. degree. If the state university belongs to the prestigious Association of American Universities, this sense of an exclusive prerogative or divine mission is even more likely to be evident. And yet this very attitude of superior status is one of the reasons why faculty members in other institutions press for graduate study. The academic profession has a strong egalitarian drive and does not take kindly to claims of status based upon distinctions other than individual scholarly performance.

In the realm of all actions affecting graduate study and research, the federal government ought to make a choice. One choice is to say that graduate education is a national function and support of all graduate education will be assumed by the federal government. Then the role of the state government planner can be exclusively assumed by the federal government planner. The other choice is for the federal government to make state master plans the basis for any federal actions with an impact upon graduate education. One or the other choice is the alternative for rational higher education planning. But in candor I must say I see little likelihood of any such rationality in federal activities in higher education. The unfortunate state government planner will be left in the position of continuing to try to make sense out of the conditions which federal actions make for him.

It appears to me that the state partnership with

the federal government in the field of higher education is at best today an unhappy working relationship. The federal government tends to recognize state universities as partners but not acknowledge the existence of state governments as having a major concern with higher educational planning. The impact of federal action then is to undermine state government planning, or even to make state government planning impossible.

Perhaps it is not too much to hope that one of these days there will emerge a true partnership between the federal government and state governments in the field of higher education. I cannot help but feel that such a partnership, when it does emerge, will be mutually beneficial.

IMPLICATIONS AND ADVANTAGES FOR STATEWIDE PLANNING AND COORDINATION OF EMERGING PLANNING AND MANAGEMENT SYSTEMS

Ben Lawrence, Associate Director
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The call to accountability in higher education is unmistakably clear. Some are heard mumbling, "You had better do it or we will do it for you." Others pass laws intended to restrict funds that might assist rebellious students, to reduce faculty travel, and to curtail budgets in what appear to be punitive ways. Still others plead for a better understanding of the educational process; for a clearer picture of what the dollars are buying; for mission-oriented, relevant research, rather than faculty-determined, blue-sky research; and for a back-to-business, stop-the-ideological-nonsense, get-on-with-the-learning approach that makes for productivity in the instructional program.

This call to accountability stems not from revenge, but from a sense of frustration—frustration with vociferous students, dissatisfied faculty, and the unsolved problems of war, racial crisis, pollution, unemployment, and inflation. It stems from a sincere and dedicated feeling on the part of political and public leaders that, indeed, something is wrong with higher education today. While they do not know precisely what the diagnosis is, they have read the thermometer and *believe* the patient to be ill.

Consider the Past

Higher education is perceived as having made a significant contribution to the development of this country during its formative years. It developed and nurtured the practices of freedom through law and order and contributed intelligence to the task of developing a productive industrial society.

During World War II when our country was in grave peril, our universities assisted with the development of modern equipment to assist our fighting men and developed the atomic bomb that terminated the war significantly earlier than anticipated, at a tremendous savings of life on both sides.

When Sputnik circled the globe in 1957, we turned to the universities and colleges for the production of necessary manpower in scientific fields. The universities and colleges, true to form, responded in a magnificent way. While higher education was always asked to report fiscally what it did with the funds made available, it was perfunctory and routine reporting because the benefits of higher education were perceived by the public as being real and obvious. No one seriously challenged the use to which the dollars were put.

Consider the Present

The longest war of this country's history is still being waged. The old ways of fighting apparently are not working. The bomb cannot be used. Universities and colleges have not produced the genius of a new weapon or new insight to negotiation to bring the war to an end.

While millions of dollars have been expended on educational research, we still do not know how to educate our poor and our minorities nor how to provide equal opportunity for them.

Pollution plagues our major cities. While steps are being taken to control pollution, the colleges and universities have not come through with a dramatic technical solution nor with enlightenment on how to reduce the human problems involved.

Inflation runs wild, while our nation's experts debate the best way to solve the problem. Higher education's demands for more money are perceived by many to be encouraging a course of spiraling inflation.

Unemployment is high in spite of inflation.

Moreover, for the first time in history, unemployment is high among Ph.D.'s. The university is accused of poor planning and overproduction. In view of Allan Cartter's warnings, the accusation is not entirely unjustified.

Higher education does not appear to be performing at the same level of excellence as in former days. The benefits of higher education are not so easily perceived as being real and obvious. Perhaps higher education has overextended itself. In any case, many people are seriously challenging the use to which the dollars are being put. They openly wonder if they should give at least some of those dollars to other agencies or for other approaches to solving problems.

On the other hand, legislators and public leaders should resolve not to throw out the baby with the bath water. Part of the difficulty higher education faces regarding accountability is that it has never really been called to account in this manner before.

Lest someone suggest that higher education should have been prepared for accountability, it should be pointed out that several previous attempts have been made to develop comparative management systems, but they failed because accountability was not demanded. Legislators did not look kindly on the higher education official who wanted to spend more money on management or "overhead" as it used to be called. What incentive was there to spend money on management when no one seemed to be interested in better management? Why should the university official press an unpopular view, especially when it got him in trouble for increasing the overhead expenditure?

Look at how hard it has been to develop state coordinating agencies. Their reason for being is planning and management. For years where they existed at all, it was only with considerable controversy. Then, gradually, more authority was given the agencies. Now that the demand for accountability is upon us, legislators are not only creating coordinating boards, but giving them substantial power and authority—in some cases, governing authority over all higher education.

Yes, the demand for accountability is upon us. Improved planning and management for higher education is an idea whose time has come. Everyone wants to get into the act. Demand for instant planning and management systems is high.

Limited resources, expanding enrollments, and student, faculty, and public dissatisfaction with the processes of higher education today are contributing to the eagerness with which administrators in higher education are seeking to improve the management of their institutions. The need is now evident. The demand is here for better tools, sharper tools, and more selected tools to address the planning and management problems of modern higher education.

What appears as a need for some provides an opportunity for others. Management technicians and developers look upon this situation as an opportunity to prove what the new management techniques can do. Superanalysts seek to develop supersophisticated systems which, while technically superb, are too costly to be economically feasible. On the other hand, there exist the opportunists who sell shoddy products. Serious-minded management specialists and technicians attempting to develop worthwhile products at a feasible cost must compete with the superanalysts and with those who sell shoddy products at low costs.

A major difficulty related to the emerging management information systems is the disenchantment and confusion that comes from a pell-mell, ill-considered rush to discover new techniques. While management information systems should be developed with all deliberate speed, caution is urged. Those seeking these services are advised to look at the credentials of those offering the services, both in terms of their capability for the development of the new techniques and in terms of their experience with the processes of higher education. Those who offer quick, easy solutions at low cost and those who talk about supersophisticated systems at astronomical prices should be viewed with a healthy skepticism.

Because planning and management systems have not evolved with higher education and because of the immediate demand for fully operable systems, the development of these systems is going to be costly. Accordingly, there is an urgent need for careful planning of these planning and management systems for higher education today. *Planning and management must be brought to the development of planning and management systems.* Some new analytical tools

are obsolete before they are fully developed. Through a process of careful planning, someone must determine which analytical tools we are going to use, even though they could be replaced with better tools. We must get *some* tools operational and usable within institutions and agencies of higher education in order to justify the developmental costs we are pouring into this field.

There are several different routes by which planning and management systems may be developed. If we follow each of these, we are apt to accomplish none of them. We must plan the deployment of our resources with a view of getting a system operational at the earliest possible date, leaving the refinement and exploration of other alternatives for a time when resources are more plentiful and the need for establishing operational planning and management systems is less urgent.

The urgency of the present need places an equally important constraint on the development of planning and management systems. These systems must be developed in a modular format—in "stand alone" modules that are compatible with each other, developed in such a way that when one module becomes obsolete, it can be replaced by a newly developed module designed to perform the same function without destroying the integrity of the entire system. This form of development is far less expensive than revising an entire system each time some portion of it becomes obsolete. If the concept of compatibility is to be followed in the development of planning and management systems for higher education, institutions, state agencies, and the federal government must cooperate. Without careful cooperation we will commit ourselves to irreversible, costly courses of action that are unjustifiable with the knowledge now available to us.

The advantages of the emerging planning and management systems for statewide coordination—in fact, for any level of decision making—lie in their promise of a new dimension of understanding in the decision-making process. In the same way that power steering augments the driver's control of the modern automobile, so new planning and management systems promise to augment the power of the decision-making process in higher education. This analogy may be pressed a little further. A Volkswagen has no need for power steering. On a Cadillac it is convenient and expected. On a five-ton truck power steering is optional but increasingly preferred. However, can you imagine a modern 27 cubic yard earth-moving vehicle operating without some type of power-assisted steering? For many institutions, new planning and management systems are still optional. For many others there is ample evidence that some powerful assistance is needed in understanding the processes of higher education and making decisions about it. In seeking and developing this assistance, we should not become enamored with names. PPBS, MIS, and Cost-Benefit-Analysis offer no magic in themselves. We should look upon them as tools with specific characteristics. When they meet our needs, they should be used. When they do not help us, we should avoid their use. Hopefully, administrators will learn the uses of each of the tools available and be able to determine their appropriate uses.

To describe the specific advantages of these new systems would have the effect of losing my audience. When I go to buy a new car, I'm interested in the way it drives, how it looks, the upholstery, its size, gas consumption, price, the guarantee of reliable operation, and good service. I'm not interested in gear ratios, carburetors, and other technical performance specifications of the car.

Likewise I have assumed that this audience is not concerned about the details of resource requirements prediction models, student flow models, data bases and data element dictionaries, program classification structure, faculty activity analysis procedures, input/output measures, faculty flow models, cost-finding principles, and cost-exchange procedures.

Rather, I believe this audience is interested in knowing that planning and management systems offer hope for improving the planning and management capability of higher education in several ways.

1. *Speed.* Higher education could improve its management and planning today if it had more time to gather and analyze the necessary information. Through the use of simulation techniques—models of various sorts—information can be analyzed with high-speed computers to provide the decision maker with much more useful information and many more feasible alternatives prior to making a decision.

2. *Comparable Information.* Information that can be used for comparison purposes is valuable to the educational enterprise. The concept of *compatible* planning and management systems offers hope that large amounts of information will eventually be available for comparison purposes within institutions, among institutions, among state agencies, and for national analysis of higher education. To be able to relate data to data in a meaningful way, with a reasonable assurance that one is not comparing apples with oranges, is, in itself, probably worth the investment currently being made in planning and management systems.

3. *New Methods of Organizing, Analyzing, and Interpreting Data.* A major problem confronting top-level decision makers in higher education today--particularly those at the state level--is that there is an abundance of data but very little information, interpretation, and insight. The effort required--particularly for administrators at the state level--is in the formulation of meaningful information for decision making from the mountains of available data.

4. *Increased Understanding of the Processes and Benefits of Higher Education.* In order to develop planning and management systems for computer application, the processes of higher education must be carefully examined. Casual relationships must be determined. Thoughtful debate that determines these relationships unmasks many myths, identifies those relationships that produce most of the differences, and enlightens all those involved in the discussions.

5. *Identification of Benefits Provided.* Finally, the development of planning and management systems requires that considerable attention be given to the questions: What for? What is the product? How can we be assured that spending dollars on higher education is more important or equally as important as spending those same dollars on welfare? The public is no longer convinced by rhetoric and is no longer awed by the wisdom of the college president and the faculty senate. The public knows that a student faculty ratio of 6 to 1 does not mean class sizes of 6 to 1, but class sizes of 30 to 1 with ample time for the faculty members to do their own (research) thing. The public appears to be arguing that an institution's values and objectives are articulated by the use of its scarce resources, and they are questioning the present use of those resources. New management techniques call for careful consideration not of how the dollars were used, *but the benefits the dollars provided.* New management techniques offer the hope of a language through which the benefits of higher education can be discussed and evaluated--a language that will communicate to legislators and others responsible for funding higher education, much more clearly, what they are buying with the dollars they spend and, more importantly, in what other ways they may be able to have the same product produced at lower cost.

If I understand legislators correctly, they feel a heavy sense of responsibility to provide quality education at as low a price as possible. Not too long ago one legislative analyst, when discussing quality education, said: "Quality. That is the crux of our differences! Define quality and then tell me if you can provide it at two cents a ton cheaper." The emerging planning and management systems offer this hope.

Of course, these new systems have many implications for higher education. These implications may be good or bad, depending on one's perspectives. They may also be good or bad, depending on what happens as the systems develop.

Most administrators of higher education are disturbed by the fact that most modern management tools work both ways. They are like double-edged swords: They may provide capabilities for better accountability, but they also provide better capability for identifying the fat in financial plans. They promise less uncertainty, clearer identification of the issues, and a better presentation of the alternatives, but they do not alleviate the difficulty and debate over decision making. While they may improve management efficiency, increase productivity, and enhance human satisfaction, they may also provide the opportunity for those responsible for funding higher education to suggest leaner budgets, rather than improved productivity.

For example, to be able to compare costs in the production of B.A.'s in mathematics may be very good if your costs are below the average but very bad if your costs are above the average. Simulation, using a resource requirements prediction model, may be very helpful to the president of the university in determining his budgetary requirements, but the same technique

may also be very useful to the statewide coordinator in determining at what other institutions the same dollars are equally as necessary. A determination of the products that an institution produces may result in demand for more of certain products, but on the other hand it may also result in people saying they do not like or want some of the other products.

As these new tools are developed, we may expect that not only will the administrators in higher education become more enlightened, but those responsible for the establishment of state and national policy and the public in general will have a better understanding and be capable of making more intelligent decisions about higher education. These decisions may not always be in accord with the decisions of the administrators and faculties of the institutions.

A second implication is that these new systems may induce, if not require, changes in the decision-making process in higher education. Vested interest, not always but quite frequently, is affected by the force of logic. As these new systems demonstrate their capability to predict with reasonable accuracy the consequences of alternative courses of action, we may expect that the effective decision makers may well turn out to be the persons most knowledgeable concerning the development of the alternative courses of action.

Those who are developing planning and management systems for higher education are closely related with the top administrative group in the institutions and state agencies. This may result in a greater centralization of decision-making authority within the institution for a period of time. In fact, if the new planning and management systems are to be implemented, state agencies and boards of regents may be forced to require the reorganization of the institution. Planning and management systems, at least as yet, cannot withstand a concerted effort to undermine their usefulness. Should such undermining occur, the systems would be doomed to failure without some sort of reorganization of the decision-making process to protect them.

On the other hand, over the long run, if systems are appropriately developed, we may expect a considerable decentralization of decision making. Planning and management systems offer the hope for better understanding of the processes of higher education. Given mutually agreed upon well-specified objectives for our institutions and agencies of higher education, the system can be highly decentralized. This encourages innovations within the limits of objectives. Decentralized decision making shortens the span of control, making it possible for the decision maker to evaluate the effects of the decision rapidly and make adjustments as necessary within the limits of the objectives.

The third major implication of the emerging systems for statewide coordination is that new staffing patterns and new staffing requirements may be anticipated. We may expect a new breed of administrator, one familiar with the uses of computers and not threatened by sophisticated analytical techniques, a breed which knows that there must be a way to improve understanding of complex problems.

I do want to stress that while planning and management systems will assist the good administrator, they will not make a good manager out of a poor administrator. At least part of the problem associated with the planning and management of higher education today is associated with the fact that we recruit our administrators from among teachers and researchers, without giving them the extensive training they need in management of modern complex institutions.

You cannot increase the typing output of your office just by giving your secretary a magnetic tape selectric typewriter. You must either train her to operate the new typewriter or hire a new secretary who can. Likewise you will not improve the management of your institution by adding a management information system. You must either train your president to use it or get a president who can.

The new administrator will require new kinds of support staff. He will require high-level generalists, thoroughly familiar with the processes of higher education and, at the same time, capable of using modern analytical tools and techniques. These will be backed up by computer systems analysts who will be as familiar with computers and computer technology as a top-level stenographer is with a typewriter.

The lines of authority stemming from the new breed of administrator will be reorganized to reflect the new decision-making processes and the

new kinds of support staff he needs. To be sure, the new analytical capability will be increasingly observed among the top-level administrators in higher education.

A final implication. Improved planning and management systems may well provide the temptation for statewide coordinators to control education. Improved management information may make it possible for coordinators to have sufficient information available to them that they think they can shape and control the process of education completely. They may be able to make judgments about an institution through the use of that institution's resource requirements prediction model, equally as well as the president of the institution may. However, they will not have access to that information which provides the "feel" for the institution. We need very soon to examine the levels of decision making and the degree of centralization that is best for statewide planning, lest the new systems route us into a system of control that turns out to be undesirable.

Conclusion

There are many uncertainties in the development of planning and management systems for higher education. The implications and hazards involved in their development and use are sufficient to cause us considerable concern. Those who oppose the development of planning and management systems very often display their ignorance when they attribute decision-making capability to computers and display their lack of faith in the discernment capabilities of human beings by arguing that computer responses to specific queries will be interpreted as a decision. I believe we should not overestimate computers nor underestimate humans. On the other hand, let us not neglect the fine capability of computers because of the limited discernment of some human beings!

The probabilities of successful operations of planning and management technologies in higher education are high. The advantages appear to be sufficient to warrant the investment of time, money, and effort. The perceived success of these systems in other segments of our society, together with the high demand for improved resource allocation techniques in higher education, make it inevitable that these new management technologies will be developed and applied to higher education in some form or other. This does not preclude the possibility that at some later stage they may be discarded. In any event, it seems appropriate that institutions and state agencies of higher education should take the leadership in the development of the systems, in order to insure that they adequately serve the purposes of higher education.

DEVELOPING RELATIONSHIPS BETWEEN PUBLIC AND PRIVATE HIGHER EDUCATION

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What is the relationship between public and private higher education in a planned and coordinated system? As an initial comment in response to the question, may I combine a word of caution with one of reassurance. The word of caution is that the question itself is of rather recent origin. It is unlikely that such a question would have been raised in quite the same way even as recently as ten years ago. A decade ago private and public sectors, each facing more demands for service than could possibly be met, found little incentive for examining the possibilities of cooperative planning.

The word of reassurance is that if we have not yet arrived at any final answers either about state planning and coordination in general--or about the inclusion of the private sector in statewide planning and coordination--we should be neither surprised nor disappointed. A brief review of the development of American higher education soon reveals that statewide planning and coordination is a relatively recent phenomenon and that the issue of whether or not to include private institutions in such planning is even more recent.

American higher education began as neither private nor public. That is to say, the term "private" or "public" had little meaning for Dunster's boarding school on the banks of the Charles River. What was shortly to be named Harvard College was an institution established by the General Court of the Massachusetts Bay Colony. The General Court on October 28, 1636, agreed to give 400 pounds "toward a schoale or Colledge." On September 14, 1638, John Harvard died. The day before he died he bequeathed half of his estate, valued at 1700 pounds, and all of his library to the college. The following March the General Court ordered "that the college agreed upon formerly to be built at Cambridge shall be called Harvard College." Thus it was that the combination of government grant and private funds helped to establish and maintain America's first attempt at higher education.

Among the eight more colleges founded prior to the Revolutionary War, William and Mary was established by the Colonial Assembly of Virginia with private gifts from the mother country, a royal endowment, a tax of one penny on every pound of tobacco exported from Maryland and Virginia, and all of the fees and profits arising from the Office of the Surveyor General. The wandering "collegiate school" first established in Saybrook, Connecticut, changed its name because of a gift of books from one Elihu Yale. It also received funds from the General Court of the Colony of Connecticut. Kings College, later to become Columbia College, benefited from a lottery permitted by the General Assembly of the state of New York.

It was the Dartmouth College Case and the decision handed down by the Supreme Court on February 2, 1819, that made a clearer distinction between "private" and "public" institutions.

> For higher education in America, the Dartmouth College decision put on the way toward clarification the distinction between private and public institutions, a distinction that had not been made nor required a half century before. Although serving a public purpose, Dartmouth, said the Court, was essentially an expression of private philanthropy. It was therefore a private agency subject not to the control of the state but to the control of a board of trustees into whose care had been committed the money and the benevolent intentions of many good men.[1]

As the distinction between private and public institutions became clearer, state support to what were clearly private institutions began to diminish. Harvard received its last direct support from the state of Massachusetts in 1832. And generally speaking, after the Civil War, colleges sought new

means of support among alumni and among the newly wealthy. A good many institutions spoke of the virtues of independence and freedom from state support. Yet Cornell University was created with a combination of land-grant funds and a private benefaction. A number of other private institutions were recipients of funds derived from the Morrill Act of 1862. The General Court of Massachusetts in 1861 provided a grant of land in the Back Bay for an institution that opened as Massachusetts Institute of Technology in 1865. By 1890 the Court had provided $200,000 for this private institution. Other private colleges receiving funds were the Sheffield Scientific School of Yale, Brown University in Rhode Island, Dartmouth in New Hampshire, Rutgers in New Jersey, Transylvania in Kentucky, and the Methodist College of Corvallis in Oregon. Both Indiana and New York established a new college with a combination of land-grant money and independent gifts–in the case of Indiana, $100,000 from John Purdue. And amazingly enough, New Hampshire between 1893 and 1921 added $200,000 to the resources of Dartmouth, the main party in the celebrated case of 1819.

State-supported universities were relatively slow in developing, although Georgia, North Carolina, Tennessee, and Vermont had founded state institutions before 1800. But these institutions were only modestly supported. Although established in 1785, the University of Georgia did not receive money from the state legislature for a time after 1842. In 1845 a newspaper in Virginia took issue with the policy of state appropriations for the university at Charlottesville. By the eve of the Civil War, perhaps a dozen state universities had been created with the assistance of earlier federal grants of land. But it was in the post-Civil War period and in the later decades of the 19th century that the state systems of higher education emerged.

It is not my intention to provide a short course in the history of American higher education. My only point is that the distinction between state and private higher education is, in the history of higher education in our country, a comparatively recent distinction. Perhaps, more properly, it is a 20th century distinction.

Enrollments in private higher educational institutions edged out those in public institutions until the middle of this century. It was in 1952 that the enrollment figures provided by the Office of Education showed more students enrolled in public than in private institutions. The statistics are not always as precise as they ought to be, and the way in which institutions count students seems to depend upon the purpose for which the count is taken. In any event, from the early 1950's on, whatever the base employed, more persons were enrolled in higher educational institutions supported by public funds than in private institutions. And by 1969, over 70 percent of our young people were enrolled in institutions classified as "public." The enrollment in privately controlled institutions is still impressive, accounting for well over 2 million students. Yet, in the fall of 1968, only eight of the 60 largest institutions were private. The others were under public control and support.

Cooperative Planning

My second comment is that in terms of the length of time we have devoted ourselves to discussing the issue of cooperative planning involving public and private higher educational institutions, we have moved with surprising speed. Reports presented at this conference provide illustrations of developments not heretofore mentioned in the general literature relating to private higher education as a factor in statewide planning. One of the more recent items in print was published in December 1969 by the Academy for Educational Development. One paragraph of the foreword is particularly significant:

> A generation ago a report such as this–which lists and describes the planning activities and coordination in many areas of higher education in every state–would not have been possible. A decade ago the activities in many states would have been shown to have been at minimal levels or nonexistent. Today, however the report is voluminous, in as much as coordination and planning for higher education has extended all across the country. The state-to-state pattern varies substantially, however, both to meet local needs and as reflections of differing historical developments of the various systems.[2]

In the summary developed by the Academy for Educational Development, it appears that in 14 states the official planning agency has some responsibility for relating to private institutions when developing overall plans for higher education within the state. In three of the states the law

creating the planning agency stipulates that private institutions must be included in the planning activities, but participation by the private institutions is voluntary. In four of the states, representatives from the private sector are required in the membership of the official agencies. In five of the states these agencies have authority to review planning and approve programs and degree changes for private as well as public institutions.

The 14 states in which an official planning agency has some responsibility for private institutions in the overall planning for higher education are: California, Connecticut, Illinois, Kentucky, Maryland, Michigan, Minnesota, Missouri, New Jersey, New York, North Carolina, Oklahoma, Oregon, and Pennsylvania. These are the states listed in the report of the Academy for Educational Development. As I review the report, however, I find 10 more states have at least included or taken into consideration the private sector in some aspect of state planning. These are: Arkansas, Idaho, Montana, New Hampshire, Ohio, Tennessee, Texas, Utah, Virginia, and Wisconsin. This means that just under half of the states have made some attempt, sometimes rather limited, to take into account private higher education in state planning.

According to the summary by the Academy for Educational Development, the four states requiring representation from among the private educational institutions on the coordinating and planning body are: California, Maryland, Minnesota, and Missouri. In addition to the states with these statutory provisions, a number of the states include representatives of private institutions either as regular members or as advisory members on the various planning boards. In Connecticut, one member of the Commission on Higher Education is from a private institution, and the commission's advisory council has an equal number of public and private institutional representatives. In Illinois, the Board of Higher Education secures advice from technical study committees composed equally of representatives from public and private institutions. It also has a standing advisory committee of representatives from nonpublic colleges and universities.

In Michigan, representatives of private colleges and universities serve on all study committees of the State Department of Education. In New Jersey, representatives from private institutions serve on the State Board of Higher Education, and private institutions are involved in a number of the board's planning efforts. In North Carolina, private institutions voluntarily submit data to the State Board of Higher Education, and representatives of private institutions participate in board activities.

The Ohio State Board of Regents has an advisory committee consisting of representatives from private institutions. In 1968 the state began to provide assistance in the form of revenue bond financing for capital improvements for private institutions.

In Oklahoma, private institutions may apply for affiliation with the State Regents for Higher Education, although they are not eligible to receive state funds.

In Oregon, private institutions appear to have taken significant part in the activities of the Oregon Educational Coordinating Council. One representative of the private institutions is included in the council membership. Others serve on working committees of the council.

In Pennsylvania, the Liaison Committee for Private Higher Education meets with the Council of Higher Education and the Commissioner of Higher Education to develop cooperative planning. In Utah, representatives from Brigham Young University and Westminster College serve on the state board planning and coordinating committees. In Virginia, representatives of private institutions serve on advisory committees of the council, but the report of the Academy for Educational Development goes on to say that persons from private institutions who serve on the advisory committees represent only their individual institutions and not the private institutions as a group.

In Wisconsin, representatives from private colleges and universities serve on study panels which develop master plans for the Coordinating Council for Higher Education.

In addition, in Montana and North Dakota, private colleges have been involved in statewide planning. In Montana, the private institutions participated in the recent statewide comprehensive study through an interunit committee of the Office of the Executive Secretary of the Montana University System. In North Dakota, private institutions participate voluntarily; they are included on an equal basis with the public institutions in a ten-year projection study of higher education.

In two other states, Tennessee and Texas, special studies of the place of private higher education have included the association of the private colleges of the state and the state commissions. Tennessee is just in the process of completing the study of private higher education. Texas completed its study a year ago.

Arkansas recently completed a study of the number of additional students private institutions could accept and how this would relate to the state.

Thus, while only four states have statutory provisions for including representatives of private colleges on planning boards, at least twelve more have included private college representatives, and two others have had private college representatives involved in some state planning and projection. Three more have engaged public and private institutions in studies of the role of private colleges in the state system. The involvement of private colleges in state planning is more impressive than it might seem to be at first glance.

Special Studies

My third comment is that not only have private colleges been participants in statewide planning in a number of states, they have also been the subjects of special study in at least eight states. Perhaps by the time the proceedings of this conference have been published additional studies will have been commissioned or begun.

The Southern Regional Education Board has within the last four years issued two reports regarding the relationship between private and public higher education. In 1966 the report "State Government Relationships with Private Colleges and Universities" called attention to the increased interdependence between state governments and private institutions. William McFarlane's subsequent examination of *State Support for Private Higher Education?* takes note of five recent studies of the relationships between state governments and private higher institutions. Reference is made in that report to the studies in New York, Illinois, Texas, Missouri, and California. A draft report of the study of higher education in Tennessee calls attention to additional studies in Oregon, Massachusetts, and Tennessee.

The fact that these state studies have been undertaken with specific reference to private higher education indicates a concern for taking into account the broad range of higher education within the state as plans are made for the future. The study groups varied from a two-man team to commissions with extensive staff assistance. The particular charges given to each of them have been reported in the McFarlane report and in the Tennessee draft report. However, I call to your attention portions of the specific charges given to the various study groups, because I think the way in which they were commissioned gives some insight into the state concerns.

In New York, the request came from the governor and the Board of Regents and sought advice on ways in which the state "can help preserve the strength and vitality of our private and independent institutions of higher education, yet at the same time keeping them free."

The Illinois request came from the General Assembly for advice on how the "nonpublic institutions can be appropriately related to the public ones, without impairment of their freedom, and on constitutional means by which the state can aid the nonpublic institutions in the fulfillment of the task."

Both the New York and Illinois statements initially commit the states to finding ways and means to assist private higher education; the question is not even asked whether private higher education should be assisted and encouraged. The Texas study grew out of a request from the Coordinating Board to the private colleges, and the report *Pluralism and Partnership: The Case for the Dual System of Higher Education* was issued by the Liaison Committee on Private Colleges of the Coordinating Board. The request to the committee was for a statement that would explain what the private colleges "consider their proper place in a state system of higher education, now and for the next two decades." One of the recommendations of the study was for the development of a coordinating council which would be charged with coordinating the planning and the program and policy development of both public and private higher education.

The study in Missouri was undertaken at the request of the Missouri Commission on Higher Education following the presentation of the commission's *First Coordinated Plan for Missouri Higher Education.* The *Plan* had observed that it

was in the best interest of Missouri citizens "that the widest possible diversity of higher educational opportunities be available in the state." But it went on to raise some questions about the viability of some of the existing private higher educational institutions for maintaining this diversity. The charge to the study committee was to examine "ways and means of making private institutions, in fact, more an integral part of Missouri higher education." There was at least implicit in the charge that, if possible, the Missouri Commission would want more fully to include private higher education in long-range planning.

In California, the request was from the Association of Independent California Colleges and Universities. The purpose of the study was to consider "possible new sources of external financing, both governmental and nongovernmental." The Oregon study grew out of the concern of the Educational Coordinating Council for ways in which the state "can help preserve the strength and vitality of its private and independent institutions of higher education and at the same time preserve their independence."

The governor of Massachusetts asked a select committee to undertake a study "of the present financial status and problems facing the private degree-granting institutions of the state." It was intended that the committee provide projections of future income and expenditures and to examine possible approaches to meeting the needs. The Tennessee study is a combined venture of the Tennessee Council of Private Colleges and the Tennessee Higher Education Commission to "appraise the contribution of the private sector to higher education in the state." The Tennessee study also calls attention to the fact that the Federation of State Associations of Independent Colleges and Universities is examining nationally ways in which the private sector contributes to higher education within the states.

Thus the New York, Illinois, and Oregon studies call attention to the necessity for providing some kind of assistance to the private institutions while at the same time helping them maintain their independence. All but the California study seem to imply that involvement of private higher education in state planning is necessary and that the state has responsibility for assisting private institutions. The issue seems basically one of how to get the job done. The design of the California study, however, is more open-ended; it implies no particular commitment, but simply expresses the desire to explore new sources of financing.

Not only do the official *requests* for the studies show a sympathetic concern for private higher education, but for the most part the *findings* of study commissions favor increased public-private cooperative planning. Even in a planning report not specifically directed to public-private issues the basic theme appears. In November 1968 the North Carolina State Board of Higher Education published the report *Planning for Higher Education in North Carolina.* While the focus was upon planning and coordinating public higher education, the report itself points out "such planning must take into account the past and present contributions of the private institutions and their plans for the future. Optimum use should be made of all *resources* available to higher education, and public policy should be developed with that end in mind."[3]

The North Carolina report endorses the proposition that a strong dual system of private and public higher education is to the best interest of the state. It also indicates that the state itself is saved expense to the extent that private institutions educate citizens of the state. The report recommends that consideration be given to providing some kind of state assistance to private higher education in North Carolina and proposes a cooperative study of how best to implement the program of assistance. The outcomes of this study are to be brought to the attention of the governor and General Assembly during the 1971 legislative session.

The New York report responds to the governor's charge by categorically stating that strong private higher educational institutions have contributed significantly to society and affirms: "We have taken it as axiomatic that any deterioration in the established quality of these private institutions—whether in terms of faculty, curricula, academic standards, or physical plant—would be harmful not only to the institutions but also to the public good." And as you know, New York State has implemented a plan of direct grants to institutions based upon the number of degrees conferred and "other necessary evidences of eligibility."

The Illinois report emphasizes that while in

recent years various forces have tended to minimize the differences between public and private institutions, "essential distinctions remain." And it goes on to say that "it is important to the state and its people to have these institutions continue in their services." Calling attention to the fact that private institutions provide Illinois students a choice of enrolling in smaller and independent institutions, the report goes on to say: "Thus within each private college and university lies a precious opportunity for a distinctive impact on human life. Whether or not the institution succeeds in fulfilling this responsibility to the student depends on the spirit, the leadership, the quality of faculty, and the scope of resources, including library and physical facilities. Nonetheless, the state gains by having within its borders this potential for rich diversity. Nothing is more precious than human life. Nothing so enriches human life as education of genuine substance and quality."[4]

The recommendations of the Illinois study committee are based upon four premises:

> It is an essential to preserve and strengthen the dual system of privately supported and publicly supported institutions of higher education.
>
> The private institutions must retain the maximum degree of independence in decision making. Their contributions in meeting needs and solving problems will be enhanced by their continuing flexibility.
>
> The range of educational opportunities available to students must be preserved and extended along with the freedom of each student to choose the institution he wishes to attend.
>
> Private institutions should realize that, in general, growth and size will not ease financial problems since tuition income covers substantially less than operating expenses. ... These institutions must be cautious about planning and increasing enrollment, except as it may produce a more efficient size as well as economically.[5]

The report then calls for direct annual grants from public funds, capital assistance, establishment of a state fund for contracts with private institutions, the establishment of a fund to assist in the development of programs of interinstitutional cooperation, and the expansion of the Illinois scholarship and grant program, already under way.

The California report simply observes that there is a "complimentary, cooperative, and competitive" relationship between public and private institutions in the state. The report raises questions about the problems involved in governmental support to private institutions, suggests the possibility of tax incentives and other forms of assistance, but rejects the idea of substantial state aid on the grounds that "if independent institutions are forced to rely on the government for solution of their financing problems, they will no longer be independent."

The summary of the Texas report states that the central issue facing Texas planners is "shall Texas continue to have an independent sector, or shall it establish a virtual government monopoly in higher education?" It goes on to answer the question quite directly: "We believe in the value, viability, necessity of a dual system of higher education so that there can be freedom of choice, diversity, pluralism, and maintenance of quality for both the public and private sectors. . . . We believe that to make the case for a dual and pluralistic system of higher education is to make the case for both public and private colleges and universities."[6]

The Texas report calls for a strong central coordinating agency with an overall "statewide approach to problems and policies, a master planning process, and a structure which permits representatives of all segments of higher education to deliberate together on broad policy and matters of mutual concern." It makes a strong bid for including private higher education in the state planning through the development of a coordinating council "or other policy review body" that would bring together both public and private higher education in long-range planning.

One of the concluding paragraphs in the Texas report issues a challenge to private higher education. "Although state action is needed, the real challenge is to the private sector to save itself. State action alone, no matter how favorable, will not guarantee the continued existence and health of independent higher education. It will merely give the private sector a fair chance to make itself the viable and vital force it must be to perform its proper functions."

As a result of trying to secure planning data for the Missouri Study from private colleges and the degree of cooperation varied considerably we were convinced that the private colleges had some responsibility for defining more clearly their own particular contributions to higher education in

general and to the state in particular. One of our recommendations was:

> The private higher educational institutions should engage in a more systematic analysis of their own uniqueness. Are we to believe that it is only that these institutions derive their operating funds from different combinations of sources that distinguishes them? Or, is there any demonstrable way in which these colleges differ from state-supported institutions by virtue of their independence? All social institutions operate under certain pressures and are responsive to certain constituencies. Do private colleges, by virtue of their more diversified sources of income, possess a measure of independence that enables them to offer a broader range of programs to their students? How do state colleges remain responsive to the demands of the state and at the same time maintain the measure of political independence necessary for free inquiry and the investigation of new ideas and thought?[7]

We were convinced that private higher education had been too ready to consider itself unique without seriously exploring the nature of that uniqueness. It seemed to have been accepted on faith that because an institution was private it was in some way different. In our report we were not debating the possibility of uniqueness; we simply wanted to emphasize that it was necessary for the colleges to make the case themselves.

From the point of view of the state, and it was on behalf of a state commission that we were undertaking the study, we took an essentially pragmatic approach. We said:

> It is important to view the broad range of higher educational activities in the state of Missouri in terms of a general and overarching demand. For every higher educational institution, private as well as public, is engaged in an essentially public task, *i.e.*, the education of young men and women to take their places as citizens and contributors to state, nation, and world society.[8]

We also said that all of the higher educational institutions, both private and public, should be viewed essentially as resources; then the issue becomes a matter of determining the best strategy to employ in insuring the development and maintenance of a broad range of opportunities for the state's citizens. As our first recommendation we urged that the state consider all of higher education in terms of how the critical needs of the state may be met by existing institutions, both private and public. It seemed to us not a question of private versus public, but of providing the educational opportunities needed by the state.

In summary, the recommendations growing out of special studies of the place of private higher education in statewide planning include the following: (1) There is a need for maintaining a strong if small private sector; (2) The state would seem to have some measure of responsibility for the maintenance of that sector; (3) In two instances direct grants of public funds to private institutions are recommended; (4) Expanded scholarship aid programs are called for; (5) Public funds should be provided for capital expenditures in private institutions; (6) The possibility of expanding contract service arrangements between the state and private institutions should be further explored; (7) There should be more effort toward interinstitutional cooperation, including cooperation between public and private institutions; (8) In one instance at least, a coordinating council involving both public and private higher education was recommended; (9) There is need for more systematic self-analysis on the part of private colleges.

Financial Assistance

My fourth observation is that most of the reports on public-private college planning at the state level soon come to the issue of financial aid from state governments to private higher educational institutions. This is not particularly surprising. Much of the recent concern, particularly on the part of private institutions, for a closer relationship with state systems has grown out of the financial crisis many are facing. This is not to say that state-supported higher education does not face its own peculiar financial crisis. But it is to say that as private higher education faces the future, it finds it increasingly difficult to make up the difference between income and expenditures from private benefactions and tuition increases. The only major source of increased funding seems to be through some type of governmental assistance.

The Education Commission of the States, in its February 1970 issue of *Compact*, describes various possibilities for direct and indirect state aid to private higher education. The various forms described are: tax exemption, direct grants, facilities assistance, contractual relations, intrastate and interstate associations, management advisory services, income tax credit, state scholarships, and tuition equalization grants. I shall not attempt to elaborate on these categories but you may want

to refer to the February issue of *Compact*.

As you well know, when government aid to private higher education is considered, the question immediately raised is that of how accountable private institutions should be to the state. The issue then becomes that of the separation of church and state, since many private institutions have affiliations with denominational groups. The 1966 Maryland case, which could have cleared up this issue, in many respects left it unclear as to whether the ultimate test of constitutionality is to be that state aid should be denied to facilities or programs too directly tied to religion, or that state aid should be denied because of the overall religious orientation of the college.

In a recent district court case in Connecticut (Tilson versus Finch), on March 19, 1970, a three-judge panel dismissed the suit of a number of individual citizens who asserted their right as federal taxpayers to challenge federal expenditures under the Higher Education Facilities Act in which grants were given to certain church-related colleges and universities. The case has been appealed to the United States Supreme Court and (at the time of the preparation of this manuscript) is still pending.

The concern expressed about joint private-public statewide planning is not simply over possible church-state conflict; it is also over possible state control. And as long as the financial pressures on private higher education were manageable, private institutions appeared reluctant to become too deeply involved. The situation is clearly depicted in James L. Miller's article on "Institutional Individualism and State Higher Educational Systems" in the June 1969 issue of *Compact*. Dr. Miller writes:

> Private institutions tend to be ambivalent about coordination. They complain that they are left out, and yet they fear the spectre of state control. Until the recent push for state financial assistance to private institutions, the typical relationship was a polite but distant mutual respect. State boards gave lip service to the importance of private higher education in a pluralistic society and invited (but did not require) private institutions to participate in those aspects of state higher educational planning which involve the collection of factual, descriptive information. Private institutions were asked about their plans for the future (principally concerning enrollment expansion), and they were taken into account in long-range planning for public institutions. However, even this occurred in an atmosphere in which all parties knew that rapidly rising enrollments necessitated great expansion of all segments of higher education. The cooperation of private institutions was solicited and generally was forthcoming, but it was a marginal kind of involvement.[9]

Thus, while recent state planning studies almost without exception advocate closer private-public cooperation, inevitably the question of the legality of using state tax monies for private enterprises is raised and the spectre of church-state conflict emerges. From the point of view of the private institutions, the issue becomes that of possible state control of curriculum and operations. However, it has been observed that private and public higher education are not very different in program and emphasis and that trying to preserve private higher education may contribute less to maintaining diversity than we have been led to believe. Jencks and Riesman suggest that:

> In the years since World War II the stylistic and programmatic differences between the public and private sectors have become even more blurred than before. Just as earlier divergences were partly due to different sources of support, so today's convergence derives in part from increasingly similar financial arrangements. Both public and private universities now get substantial proportions of their budgets from the federal government; . . . while publicly controlled institutions remain quite different from private ones in some marginal ways, their fundamental social purposes and organization seem remarkably similar. Both public and private colleges accept the national norms of the academic profession about what should be taught and how. Only a handful of subjects are still taught principally in one sector (Biblical studies and agriculture come to mind). Despite radicals' anxieties, we have found little evidence that the intellectual content of a given course is significantly affected by the type of control or the source of support. (The church colleges are an occasional exception to this rule.) While overall curriculum is still quite different in a terminal and pregraduate institution, both sequences are found in both sectors. . . . The crucial division in modern higher education is not between public and private colleges but between terminal undergraduate institutions and the universities and university colleges.[10]

In the draft of the Tennessee study, the point is made that American higher education "is a pluralistic system, not merely dualistic, and it is a system in which privately supported colleges and publicly supported colleges both play many roles."[11] The point is subsequently made that there is diversity within both public and private higher education, that one is not inherently superior or inferior, and that there is no uniformity in quality on a simple basis of whether an

institution is public or private.

The recently completed study of diversity in American higher education by Dr. Harold Hodgkinson for the Carnegie Commission on Higher Education further documents the increasing homogeneity of the American "system." Hodgkinson found only "slight regional differences in a wide variety of educational categories including student body composition, faculty attitudes, teaching effectiveness, and administrative methods." Joseph Kraft in the *Denver Post* on July 29, 1970, quotes Dr. Hodgkinson as saying, "The data refute the commonly held assumption that there are major differences in educational institutions in different sections of the country."

Reasons for State Assistance

My fifth comment is that while many different reasons are given for state assistance to private higher educational institutions, I would contend that the basic reason is that many private institutions represent significant educational resources within the state and ought to be tapped as such. Many other reasons are given, including: (1) We must preserve a dual system of higher education because there is something inherently valuable in having a dual system. (2) In the long run, providing state funds for private higher education will be less expensive to the state than if it attempts to reproduce the same facilities through the development of additional separate state programs. (3) Private higher education has in the past carried a significant responsibility for educating the youth of the nation, and this contribution should not be lost. (4) The demands for higher education are such that all facilities, both public and private, are needed in order to meet the needs adequately. (5) The freedom to choose the kind of institution with which one wishes to be associated is in itself a value in a democracy, and the preservation of private higher education provides students a greater measure of choice. (6) The existence of private higher education provides a line of defense against undue political pressure upon higher educational institutions. (7) Private higher education is freer to experiment and innovate and thus to set the pattern for higher education in general.

Of all of the arguments advanced, I think the most telling is that certain private higher educational institutions by virtue of history, strength of programs, or even chance development, have made and continue to make significant contributions to the advancement of the purposes of higher education in the state and in the nation. They are performing a public purpose with the assistance of private benefactions. Statewide planning should take into consideration these contributions. States ought not to ignore any resources available within the confines of the state.

Most of the other points can be debated on both sides. It is not altogether clear that private higher education is the forefront of innovation. As a matter of fact, new developments in the state systems and within some of the complex universities would suggest that there is as much innovation, if not more, in state institutions as in private institutions. While private higher education should be able to withstand political pressure since there is less dependence on public monies, private higher education may not be any less responsive to political pressures than is public higher education. I am not about to dismiss this argument, but I am not sure that it has the force that it once may have had.

In light of assessments such as by Jencks and Riesman, and now Hodgkinson, we are forced to question the presumed diversity of American higher education. The great variety may not be so much a function of legal control as a function of individual initiative and imagination. Whether the existence of private higher educational institutions encourages a certain degree of individualism will probably remain a moot point. I am sure that it has not been settled conclusively. I believe in the values of diversity in higher education, and I believe in providing the means for maintaining diversity. Yet I see the pressures for greater conformity generally and certainly less distinction between public and private higher educational institutions. If diversity is going to be maintained, it has to be maintained within systems of higher education regardless of legal control. Even with more state coordination there must be opportunity for the mavericks, the different thinkers, the different kinds of programs. And this opportunity will have to be provided with state money as well as with private money.

In the final analysis it seems to me that we come back to a recognition of various resources within a given state. We see existing private higher

educational institutions as part of these resources. The most significant approach to planning is one which takes into account the range of resources. This will bring about a degree of coordination, a degree of accountability that may not have been present in private higher education in the past, but it will also bring about increased access to resources.

Fundamentally, the inclusion of private higher educational institutions in statewide planning becomes a matter of the will of the state and the people in the state. Certainly there are constitutional problems involved in providing funds to private higher education. Many of the states have explicit constitutional provisions against granting tax monies to these institutions, particularly if there is any question of church-state conflict. Yet if a state is committed to viewing all of higher education within its borders as a total resource, then there are ways by which funds can be channeled into private higher education, even into church-related higher education. Contract services represent one possibility. State grants to students, tuition equalization grants, and development of facilities authorities such as the dormitory authority in the state of New York are other possibilities already in operation.

It is not as though we had never considered ways in which aid might be provided for private higher education. We have! And we can design other and newer approaches. But fundamentally, what we do will be a matter of perspective, a matter of commitment, and a matter of willingness to examine the ways and means to cooperate in planning. If such commitment does not exist, there are many ways to justify continued expansion of wholly state-supported higher education. Reasons can be found for ignoring private higher education altogether. To ignore private higher education in state planning is a mistake, I believe, if only from the purely pragmatic point of view of using all available resources most effectively.

As simpleminded as it may seem, the issue does ultimately come to be one of whether or not a given state is prepared to examine total resources, and whether or not private higher education within the state is willing to have itself viewed as part of these resources of the state. The will and the commitment must come f om both sides.

Footnotes

[1]Frederick Rudolph, *The American College and University* (New York: Random House, 1962), p. 210.

[2]Louise Abrahams, *State Planning for Higher Education* (Washington, D. C.: The Academy for Educational Development, Inc., 1969), p. iii.

[3]North Carolina State Board of Higher Education, *Planning for Higher Education in North Carolina* (Raleigh, North Carolina: North Carolina State Board of Higher Education, 1968), p. 223.

[4]Commission to Study Non-Public Higher Education in Illinois, *Strengthening Private Higher Education in Illinois: A Report on the State's Role* (Springfield, Illinois: Illinois Board of Higher Education, 1969), p. 12.

[5]*Ibid.*, pp. 44-45.

[6]Liaison Committee on Texas Private Colleges and Universities, *Pluralism and Partnership: The Case for the Dual System of Higher Education* (Austin, Texas: The Coordinating Board, Texas College and University System, 1968), p. 83.

[7]Allan O. Pfnister and Gary H. Quehl, *Report on the Status of Private Higher Education in the State of Missouri*, A Report to the Missouri Commission on Higher Education (Springfield, Ohio: by the authors, 1967, out of print), p. 22.

[8]*Ibid.*, p. 19.

[9]James L. Miller, Jr., "Institutional Individualism and State Higher Education Systems," *Compact*, Vol. 3, No. 3 (June, 1969), pp. 29-30.

[10]Christopher Jencks and David Riesman, *The Academic Revolution* (New York: Doubleday & Company, 1968), pp. 267-269.

[11]John S. Dickhoff and Ida Long Rogers, *Private Higher Education in Tennessee*, A Joint Study Sponsored by the Tennessee Council of Private Colleges and the Tennessee Higher Education Commission (Nashville, Tennessee, 1970), p. 4.

CONFERENCE SUMMARY: REVIEW OF THE ISSUES AND EMERGING DIRECTIONS

James L. Miller, Jr., Professor of Higher Education
University of Michigan

The opening comments on behalf of Governor Ellington hit the proper keynote for this conference the need for *reassessment* in higher education. Throughout the conference we have been talking about ways of reassessing, through the mechanism of state planning and coordinating agencies.

Early in the conference I had the privilege of posing some of the issues facing higher education as it moves into the 1970's. In these two and a half days, we have talked a good deal about some issues, and we have talked surprisingly little about others. In some respects I am as fascinated by the ones we did not talk about as I am interested in the ones we explored.

One group of issues we did not mention I would categorize as things about which there is so much agreement that there is no reason to discuss them. In that group I would put the question of whether we should have state planning and coordinating agencies. The point was made that all of the SREB states do have planning agencies, and apparently there is no real question in anyone's mind about the need for them. The significance of that concensus is great. Many of you remember, as I do, earlier SREB Legislative Work Conferences in which there was a great deal of discussion about whether such agencies were needed.

We discussed the role of community colleges in a state system of higher education, and once again we revealed a general agreement on a once controversial issue the necessity for community colleges in any state attempting to provide a full range of educational opportunities for its citizens.

The proliferation of Ph.D. programs and the role of the federal government in encouraging institutions to expand into new doctoral fields was noted. The South, which for so long had trailed the rest of the nation in the development of graduate education, was a major beneficiary of that federal encouragement. Now the time has come for a reassessment of where the South stands in doctoral education and where it should go. Consolidating critical points made in several discussions, it appears that we face the strong likelihood that we have already authorized more doctoral programs than are desirable at least in most states. Careful state-level control over the establishment of additional programs must be exercised to prevent further proliferation, to weed out unsuccessful programs, and to nurture the healthy growth of doctoral education in the institutions where it is properly located. The withdrawal of federal support for many of these programs is forcing the states to assume additional educational costs at a time when the states already are investing unprecedented amounts in undergraduate education.

The presentations on federal funding for higher education were two of the finest I have ever heard on the topic and I have heard my share. Jack Morse is known in Washington as one of the most informed men on legislative matters involving higher education. He demonstrated in his presentation the rare ability to be close to a topic and also to have a long-term perspective. He and John Millett provided us with an entertaining team show they should go on television as an act if they decide to give up higher education. They both emphasized an important fact concerning federal funding of higher education the federal government originally implied permanent federal funding for certain types of activities, especially graduate education, research, and facilities construction, and now is threatening to renege. If the federal government does reduce its support of graduate education, construction of physical facilities, and student aid, the states will have to pick up the tab.

There is serious cause for concern here.

Jack Morse made the suggestion that state legislators should give more thought to Washington lobbying. If you take him up on that suggestion, one of the matters of direct concern to state legislators is the additional financial burden which is being shifted from Washington to the states because of reduction in the federal budget.

Speakers also referred to the desirability of interinstitutional cooperation and interstate cooperation in graduate education. The South invented interstate cooperation in graduate education; it is still important and needed, not only in the South, but in all parts of the nation.

A number of you suggested the need to increase the powers of state planning and coordinating agencies. But how? Several specific powers were mentioned by some speakers and legislators. Among these were the power to approve or disapprove the establishment of new programs, the power to review institutional budget requests, and the authority to recommend the establishment of new institutions.

In discussing relationships between the state agency and institutions there seemed to be general agreement that the state agency should focus its attention on state-level questions, leaving to individual institutions, as much as possible, decision making about specific matters related to the implementation of state policies.

Several times there were references to the value of planning and coordinating boards to the legislatures. An agency, if it is effective, can provide helpful information and recommendations. Legislatures are increasingly turning to state boards for recommendations on higher education policy. Boards also are helpful to legislators in relieving some of the political pressure associated with the establishment of new institutions or programs which are not really needed. In our coffee break discussions, several of you said, "A legislator can't really say no to his own constituents who are clamoring for an institution in their town, but the coordinating agency can."

The importance of informal communication, power, and authority was emphasized. Some agencies have more power than their enabling legislation suggests because they are heavy on informal power, influence, and "credibility" with state officials and the public. Other agencies have less power than the statutes suggest because their credibility is low and their recommendations are ignored. This web of informal relationships, communication, and respect among legislators and the state agency is extremely important and is often overlooked. Both legislators and agency personnel are well served when it exists.

I was surprised that we talked so little—almost not at all—about campus unrest. I expect there were several reasons for that, but one of them seemed to be a healthy respect for the different roles which are played by a legislature, a planning agency, and an institution's administrative officers. Your concern about campus unrest was apparent, but you seemed to believe and I commend you for it—that the job of dealing with it does not rest with the legislature, but with those more directly and immediately responsible for operating the institutions.

The discussion of state financial support for private higher education caught our attention several times and obviously was one of the topics of great current interest. Allan Pfnister, John Millett, and Jack Morse all commented on a state's allocation to private higher education.

A major substantive element in the conference, although it was not listed on the program, was the knowledge and understanding of higher education brought to this meeting by so many of the individual legislators in attendance. Ralph Dungan commented on the tyranny of professionals in higher education and the need for monitoring by laymen. In order to "monitor" you have to know something about what you are monitoring. Many of you are the legislative monitors of higher education in your own states. You know the right questions to ask. You know the issues that are critical today and something of the issues that may be critical tomorrow. I observed that you also have a high level of sophistication when it comes to drawing the line between monitoring—a creative act—and random meddling—a disruptive act. Not once did I hear one of you say "There ought to be a law . . ." regarding any of the needed reforms we discussed. But more than once I heard you say that state systems of higher education and the institutions had "darn well better know what they're doing" and be able to explain themselves intelligibly and convincingly to you, the members of the legislature, and to the general public. This is

a good illustration of that creative tension alluded to by Ralph Dungan. I sensed that you were sufficiently sensitive to the facts of life about organizational change and willing to be *patient* while higher education reforms the aspects of its operation which need reforming. You are patient, that is, *provided* higher education officials can show you they are on the road to reform.

Bill McKeefery, through a slip of the tongue, spoke of legislators "standing in the way . . ." and then corrected himself and spoke of legislators "on the path" leading toward greater effectiveness in higher education. The question has been with us throughout the conference. Are legislators "in the way" or "on the path"? It is clear that the group of legislators assembled here most definitely are not in the way--you are on the right path.

DINNER ADDRESS

Governor Robert W. Scott, North Carolina
Chairman, Southern Regional Education Board, 1970-71

I am pleased to address this distinguished body of legislators gathered here tonight. Later this month I will address my colleagues at the Southern Governors' Conference.

It was from these two groups, the legislative and executive branches of government, that SREB was formed. It was organized to deal with the critical problems in higher education in the post-World War II South. It was created at the suggestion of the Southern Governors' Conference and by ratification of the legislatures of these states.

One function of the board is to provide a means for state officials and educational leaders to consider together ways of improving the quality of higher education. Another function is to promote the efficient use of resources within a state and among the states in this region. These two purposes are expressed in the topic chosen for this conference, "New Directions in Statewide Higher Education Planning and Coordination."

I hope that this conference will help us to see more clearly what relationships are needed between state agencies and institutions of higher learning. This is a most timely topic.

It has been pointed out that the question is not *whether* we are going to have planning in higher education, but *how* we are going to do it. Each time you legislators appropriate money for a new program or a new building, and each time a budget analyst recommends money for a new program or a new building, planning occurs. The question is: What is the best way for this planning to be done?

Back when legislators considered only two or three building requests at a session, and even back when they considered 15 or 20, it might have been feasible for the legislators to get a good idea of relative needs, to make wise choices, and hence, to do wise planning in higher education. But, times have changed. At the last session of the North Carolina General Assembly, the public senior institutions alone presented 263 requests for capital improvements, in addition to a vast number of requests for new programs, extension activities, additional personnel, and salary increases.

During the past 30 years, expenditures for higher education by the states across our nation have increased by more than 4,000 percent. This is staggering. Clearly, the time has come to reexamine the system of planning and coordinating such a large and rapidly growing function of government.

At this conference, you are hearing some of the nation's leaders in the field of education. I sincerely hope that you and they will explore and evaluate together and possibly come up with some answers.

I think we all recognize that education is the key to better living and that institutions of higher learning form the source for our future doctors, lawyers, teachers, accountants, and dentists; our future leaders in business, commerce, and politics.

Tonight, I would like to share with you some concerns I have in regard to higher education.

One concern is access. Those of us in government must continue to face the need for seeing that higher education is available for all of our citizens who want it and can benefit from it. Many of our citizens can hardly believe that today lack of money is still a major barrier to education for a large number of young people.

But, consider the statistics: American families in the top 25 percent income bracket are producing more than half of the college students. Those families in the lowest 25 percent income bracket are producing only seven percent of the students. Obviously, a student's chance of going to college depends very largely on the size of his family's pocketbook.

In some counties of North Carolina, more than 40 percent of the high school graduates go on to a senior college. Generally, those are the counties with high per capita income. In some other counties, less than 15 percent of the high school

graduates go on to a senior college. Those counties tend to be the ones with low per capita income.

The North Carolina State Board of Higher Education, in the state's long-range plan of 1968, suggested that a commission be appointed to study this problem of financial barriers to higher education in our state. Such a commission is now at work.

We must find ways of seeing that capable young persons, regardless of their residence and their parents' financial status, can get an education that is in line with their abilities and interests. This is absolutely imperative if our Southern states are to increase their per capita income.

Another concern is size. At SREB's annual meeting in Houston this summer, I was especially interested that the board approved, among a number of new studies and activities, a review of the various studies that have been made concerning the optimum and maximum sizes of colleges and universities. I think that we have all had an intuition, or a feeling, for years that there was indeed an optimum size for various types of institutions, that some of the more important qualities we sought in an educational institution tended to evaporate when an institution reached a certain size. Yet, we have never–or almost never–really been willing to limit the size of public institutions. They have somehow kept getting bigger and bigger and more and more impersonal.

A recent study by the Carnegie Commission on Higher Education showed that institutions with less than 1,000 students had only a 14 percent increase in demonstrations. Those with more than 15,000 had a 75 percent increase. Those with more than 25,000 had an 88 percent increase. Students do not like to be treated like IBM numbers any better than you or I. This was pointed out at the University of California at Berkeley, where some students carried signs that went something like this: "I am a person. Please do not bend, multilate, or spindle." Thus, SREB's report on optimum and maximum sizes of institutions comes at a good time. It should be most helpful.

In a few minutes, I will return to my concern of size. For the moment, I would like to talk a little bit more about SREB. The Board does not just conduct studies that benefit higher education in the South. It also fosters cooperative efforts among the member states in nursing, computer science, social work, agriculture, mental health, and many other fields. These efforts conserve resources and improve the quality of our programs.

Perhaps SREB's most important contribution of all has been in helping us in the South set goals for higher education and in helping us measure our programs toward achieving them. SREB has been able to exert a powerful influence on the formulation of policy because the organization has had political, as well as educational, representatives on its board.

As a governor and as chairman-elect of SREB, I pledge to do my best to make our interstate effort, our compact, a continuing, major force in the region. I ask you, as legislators, to join me. It is our task to face the problems of higher education at a time when the region–indeed the entire world–is in a state of turmoil, uncertainty, and rapid change.

This brings me to still another concern, one that I feel sure you share with me, and that is the phenomenon of widespread dissension and unrest on our campuses.

Just over a century ago, Charles Dickens wrote *A Tale of Two Cities*. His book contains these memorable lines:

> It was the best of times, it was the worst of times, it was the age of wisdom, it was the age of foolishness, it was the epoch of belief, it was the epoch of incredulity, it was the season of Light, it was the season of Darkness, it was the spring of hope, it was the winter of despair.

These words ring just as true today as they did a century ago. They describe pretty well, I think, the paradoxes that currently confront us in higher education. On the one hand, we have many modern, top-quality campuses, where the faculty members are well paid and students have spacious dorms, excellent libraries, and well-equipped laboratories. On the other hand, there was the bombing last month of a building at the University of Wisconsin. Last spring, a scholar's life works were destroyed in a fire at Stanford. Then, there were the tragic deaths at Kent State and scores of other troubles on our campuses back in May.

On the one hand, we have parents who want nothing but the best for their children, who want them to have the opportunities in life that they themselves missed because of the depression and the simple fact that they could not afford to go to

college. They had to go to work early in life, in many cases without even finishing high school. On the other hand, these children of affluence are going to college. Yet, too many of them seem to have the attitude that "it is the thing to do because everybody else I know is going." Too many of them seem not to recognize that going to college is a privilege, an opportunity to achieve excellence.

On the one hand, scientists are telling us that we can look forward to an increasingly lengthening life expectancy. Yet, there are many students who in the best years of their lives are ruining their minds and their bodies with LSD, heroin, and other dangerous drugs and narcotics.

Now, let's return to a previous concern I mentioned: size. Amid the many paradoxes that confront higher education today, we must not overlook the tremendous growth in enrollment that has taken place during the past 30 years or so. For example, in 1940 about 1.6 million students were enrolled in our nation's colleges and universities. By 1960, that number had more than doubled to 3.7 million. During the decade of the sixties, the enrollment more than doubled again. Today, nearly 8 million students are enrolled in our colleges and universities. Yet, while the enrollment in our institutions of higher learning has mushroomed in the past 30 years, the number of our institutions has increased rather sluggishly. Thus, practically all of our campuses have far more students today than ever before.

The size of our institutions is a major factor in the problem of student unrest. It is, as I have said, on the ultralarge campuses that widespread dissension is most likely to break out. It is on the small campuses that trouble seems least likely to occur. I am not saying "the more students, the more troubles." Not really. What I am saying is that when a college or university is bursting at the seams with 10,000 or 15,000 or 25,000 students, then that institution tends to become impersonal and computerized, unaware of an individual's problems and unresponsive to his needs.

What is the answer? How do we solve the problem of student unrest on our campuses? There are no easy answers; nevertheless, we must search for them.

I would like to make a few suggestions that should be kept in the back of our minds as we search for the answers. You might call these suggestions Bob Scott's "ABC's of higher education."

It is time for academic responsibility, not academic anarchy.

It is time for brains and biology on our campuses, not bullets and brutality.

It is time for creativity, not criminality.

It is time for discipline and direction, not disruption and divisiveness.

It is time for English and economics, not endless encounters.

It is time for firmness and fairness, not fires and flag-stomping.

It is time for greatness, not guns.

It is time for history and honesty, not harassment and hate.

It is time for ideas, not ignorance.

It is time for journalism, not jeopardy.

It is time for kindness, not kleptomania.

It is time for libraries and learning, not license and larceny.

It is time for music and morality, for medicine and mathematics, not madness and mindlessness.

It is time for nursing and nutrition courses, not narcotics and nonnegotiable demands.

It is time for ocean studies and objectivity, not obstinacy.

It is time for peace and planning, for philosophy and psychology, not pot and polarization.

It is time to question, not quarrel.

It is time for reason and respect, not revolt and riot.

It is time for scientific inquiry, not strikes.

It is time to train teachers, not troublemakers.

It is time for urban studies, not unrest.

It is time to value laws, not violate them.

It is time for work, not waste.

It is time for x-ray therapy training, not x-marks in roll books for absent students.

It is time for youth, not yahoos.

It is time for zoology, not zeroes.

In summary, it is time for a renaissance in higher education, for a rebirth of the love of learning, for a renewal of the quest for truth, and for a respect for truth when it is found.

It is time for our campuses to reject the drift toward political activism, toward becoming asylums of professional political anarchists and return to their respected, useful, and still valid function as seats of truth and learning.

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