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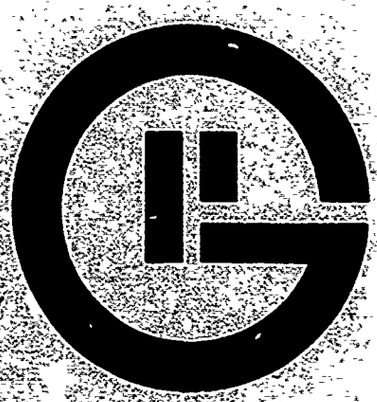
ABSTRACT

The new economic realities, the slowdown in college enrollments and the lingering animosity toward the university in some localities have combined to undermine the rather enviable position that state university systems previously enjoyed. State capitals' response to these realities is an increased emphasis on program effectiveness. In an effort to cope with the challenge of effectiveness, a reevaluation of institutional goals is imperative. Goal setting at the public institutions should involve integrating the desires of people on the campus with those of the citizens in the region and the statewide planners. Five areas that colleges can conceive of institutional effectiveness and fulfill institutional objectives are: student learning, student value development, programmatic responsiveness, campus morale, and number (application and enrollment figures). A 14-item bibliography is included. (MJM)

college goals and the challenge of effectiveness



BY RICHARD E. PETERSON

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COLLEGE GOALS AND THE CHALLENGE OF EFFECTIVENESS

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The Institutional Goals Inventory is available through the Institutional Research Program for Higher Education, Educational Testing Service, Princeton, New Jersey 08540.

COLLEGE GOALS AND THE CHALLENGE OF EFFECTIVENESS*

Some New Higher Education Realities

I will not be the first to assert that higher education in America has reached a watershed. For 20 years, in most of the 50 states, we have seen extraordinary expansion in higher education programs and facilities. This growth has been associated with an unquestioning belief that economic and social progress is a natural consequence of higher education. All this, for many reasons, has now changed.

Various forecasters generally agree that, due to declining birth rates, enrollment increases will be slowing down during the 1970s and that the 1980s will be a decade of zero population growth in American higher education (2). Add to this a decreasing desire to attend college on the part of those we can call, as a shorthand, members of the counter-culture. The extent to which youths alienated from standard American institutions will opt for some kind of life other than an academic one is most difficult to forecast; this factor has certainly not entered into any of the existing predictions. My own hunch is that their numbers will increase and that they will be among those we used to think of as our best, our most intelligent and sensitive students. Furthermore, I expect the new college students in the 1970s will tend to be from the working classes and possess relatively lower levels of scholastic ability (3).

A second general factor pushing us toward the watershed has been mounting public displeasure with the universities, a result largely of student radicalism and campus disorder. Antagonism reached a peak in 1970 in the wake of campus upheavals following the invasion of Cambodia and the shootings at Kent State University. As many of us will remember, the fires of resentment were fanned briskly by various politicians pursuing their political fortunes during off-year election campaigning. Taxpayers grew increasingly reluctant to have their money used to support colleges and universities that, they felt, were unable to maintain internal order and that seemed to be staging grounds for various subversive actions. One should be careful, however, not to overgeneralize the extent of public reaction. Colleges in some parts of the country and some kinds of colleges throughout the country—two-year and church-controlled colleges, for example, which have experienced little disorder—have less often been the objects of public animosity.

Third and most important are the present economic realities. The country finds itself in the grip of both inflation and recession. The cost of goods and services has risen steadily for some years. More recently, the economic downturn, in addition to meaning fewer jobs for college graduates, has meant urgent and probably undeniable claims on public coffers for expenditures such as welfare payments and unemployment insurance. To these rising general costs of government is added the apparent fact that public revenues have about reached their limits of availability. I say "apparent" because it is hard to know what the real situation is, and we *do* know that there is much room for reform in revenue and tax systems. Yet there is no doubt that elected officials, in a time when the cost of living has been rising relentlessly, are most reluctant to saddle their constituents with higher taxes. The result is that governments at all levels are experiencing a cost-revenue squeeze. Many state governments in particular are finding that their revenue pools are smaller than expected and must be parceled out among diverse state-supported programs, including those for higher education, *all* of which are typically asking for budget increases. This situation has created what Byrnes and Tussing call "The Resource Gap"—"the difference between available resources and needed resources"(1).

To be sure, enrollments *continue* to increase at most public colleges and universities (11), but so do the numbers on welfare and unemployment insurance rolls and there are strong pressures for totally new state programs such as medical care, prison reform, and improvement of the physical

*Talk given at Purdue University, Fort Wayne Campus, November 23, 1971.

environment. In summary, the new economic realities, the slowdown in college enrollments, and the lingering animosity toward the university in some localities have combined to undermine the rather enviable position that state higher education systems over the years had come to enjoy vis-a-vis other state-supported activities.

How are public officials responding to these new circumstances? Some, perhaps many, are reacting irresponsibly due to hopes for political gain, lack of knowledge, or outright hostility. We have seen this in California—hiring freezes, investigations of faculty work loads, special audits of a variety of university operations, and, very recently, Governor Reagan's line-item veto of faculty raises. This kind of simplistic and sometimes vindictive action may also be occurring in other states around the country.

The Challenge of Effectiveness

But emerging from a good many state capitals is another kind of reaction to the general fiscal dilemma, one that seems to be rather more responsible. This position recognizes the fierce competition for the tax dollar, but asks for reasonable and constructive accommodations on the part of all concerned interests. The basic criterion used in reaching these accommodations, in finally determining which programs will receive what share of the public dollar, is referred to as program *effectiveness*.

Most people who talk about effectiveness do not know precisely what they mean by it. The rhetoric often used to express it is "How can we get more mileage from the higher education dollar?" or the "law enforcement dollar?" or whatever. Very often effectiveness in higher education means little more than enrolling more students or awarding more degrees without increasing operating budgets. But, however expressed, the crux of this stance is that limited public revenues are to be allocated among various governmental programs according to some criterion of demonstrated or anticipated effectiveness.

I believe that, by and large, responsible public officials will welcome the participation of academic people in articulating the purposes and values of higher education, in defining the roles of the different campuses in the state, in delineating standards of effectiveness, and in otherwise reaching accommodations on the amount of available money. I realize that the best intentions of our most responsible public servants are often mutilated in the give-and-take of statehouse politics. Nevertheless, the challenge of effectiveness is a very real one and, though crudely conceived in some of its details, it is an appropriate, fair solution to the fiscal problem and deserving of constructive response from the campuses.

The Response from the Campuses

How should the campuses and systems of higher education in the state respond to this challenge for solution? First of all, academic communities should take the initiative, through high-profile leaders, in proposing terms by which accommodations may be reached, rather than sit back and let conservative legislators and statehouse budget cutters go into action on *their* terms. In almost any negotiation, the party that *first* puts forward a conceptual framework, a set of principles, and a vocabulary that may be used in the ensuing discussions has a clear tactical advantage. Thus, at the outset, college leaders should try to establish a conceptual context for subsequent discussions, offer to cooperate with other campuses and agencies in laying plans, and make clear that their staff members are preparing evidence and proposals that will be ready on a firm date.

Once this initiative is taken, things have to start happening on the campuses and in the coordinating bodies (in states where they exist). Colleges must organize to plan and justify their future in the face of limited financial resources. People in all units or programs at each institution will need to define their objectives and devise methods for determining the extent to which these objectives are being realized. In other words, procedures for evaluating the effectiveness of programs must be worked out. College leaders will then have to learn how to communicate evidence of effectiveness cogently to those who, in the final analysis, decide how the money is to be distributed.

A climate of active support and ready participation is essential to the success of these planning and evaluation activities, and it presents another challenge to college leadership. Faculty,

especially, must be convinced of the need for systematic planning and full cooperation (7). Everything in both the central offices and the departments must be absolutely open and aboveboard use of discretionary funds, projected staffing arrangements, and budget figures are good examples. Many will say that I am ignoring present-day realities of academic life, that professors don't just preach academic freedom – they practice it, that administrators are not to be trusted, that information is selectively distributed, that paranoia runs rampant, and that this uneasiness is intensified by pressures from above to cut back. Maybe so, yet at some campuses the fiscal squeeze has reached crisis proportions, and the people there have little choice but to lay aside old animosities and get themselves together. No college president interested in keeping his job is going to go to the state capital or the statewide coordinating body with a plan that many on his campus do not accept. On the other hand, the campus that presents no plan and gives no evidence of concern about institutional effectiveness runs the risk of soon marching to a new drum, of being told not only what is to be taught, but how and when it is to be taught.

Absolutely critical to a college's planning, evaluation, and related institutional-renewal activities is a consciousness among people on the campus of the goals of the institution. Planning makes no sense unless the planners know what ends they are seeking to realize or maximize. Program objectives have coherence to the extent that they reflect broader institutional goals. Assessment of institutional effectiveness is most sensibly understood as determination of the extent to which acknowledged goals are being achieved. Indeed, one could conclude that *no* decision on the campus makes sense unless it is taken with reference to accepted college goals. Beyond these rather pragmatic uses, such goals are the fundamentals of an institution's *policy*, ideology, and values, providing a focus for loyalty, professional commitment, and genuine community.

Research on Institutional Goals at Educational Testing Service

One of the important missions of Educational Testing Service is to provide instruments and services for assessing individuals and educational programs, with the latter receiving increasing attention. Thus, some three to four years ago, several of us engaged in research in higher education at ETS began to think about developing a tool that colleges could use to articulate goals that would give focus to subsequent assessment activities.

Late in 1969, a preliminary Institutional Goals Inventory (IGI) was assembled for use in a study conducted by Norman Uhl with the cooperation of five institutions in the Carolinas and Virginia and sponsored by the National Laboratory for Higher Education. One purpose of the study was to test the value of the Delphi Technique (6) as a method for achieving consensus among diverse constituent groups regarding institutional goals. With some interesting exceptions (goals relating to religious emphasis and personal freedom), beliefs about goals generally did in fact converge, with repeated administrations of the inventory along with feedback of results (12, 23, 14).

Early in 1971, this writer, working with Barry Morstain, Acting Director of Academic Planning and Evaluation at the University of Delaware, undertook a substantial modification of the preliminary instrument and arranged for administration of the resulting form, in April, to samples of students and faculty at 10 colleges and universities on the West Coast. Details of the revision of the theoretical framework and item content and the organization of the cooperative pilot study are described elsewhere (10). Following the format used by Uhl and earlier by Gross and Grambsch (5), respondents to each of the 110 goal statements in the 1971 Revised Experimental Form made both *Is* and *Should Be* ratings along a five-point scale; that is, they indicated their perception of how important the goal currently *is* on the campus and also their opinion about how important it *should be*.

Groups of five goal statements were scored together (mean of the five items means calculated) to give *Is* and *Should Be* scores for 22 "goal areas." These 22 concepts–13 "output goals" and 9 "process goals"–comprise the theoretical framework referred to above; it represents an attempt to conceptualize in a meaningful and useful way the spectrum of goals of American colleges and universities in the early 1970s.

We expect frequently–perhaps every two years–to update both the conceptualization and

item content of the IGI. The form published by ETS in the spring of 1972 is changed somewhat from the 1971 version. While the new operational inventory embraces the same 13 "output goals" (as shown in Figure 1), it covers only 7 "process goal" areas, one of which is wholly new. Process goal titles are Freedom, Democratic Governance, Community, Intellectual/Esthetic Environment, Innovation, Off-Campus Learning (new), and Accountability/Efficiency. The 1972 IGI contains 90 goal statements—four each for the 20 goal areas and 10 miscellaneous goal statements, including two items from each of the three goal areas that were dropped. The instrument also has space for rating up to 20 additional goal statements written by local campus people to cover goals of special relevance to the institution not included in the inventory.

On the following pages, selected results from the 1971 pilot study are given—mostly in the form of profiles of scores across the 22 goal areas of the experimental inventory for specified campus constituent groups.

Illustrative Results from the West Coast Pilot Project. Figures 1 and 2 give the IGI profiles for all the faculty and all the students, respectively, participating in the 10-college pilot study. These four profiles provide a kind of normative context against which to consider the profiles for the individual colleges.

One notes, first, a normative discrepancy between *Is* and *Should Be* judgment for both faculty and students, in every goal area with the exception of Traditional Religiousness, and, for faculty alone, the exception of Collegiate Environment.

In general, the *Is* profiles for faculty and students are similar. The students seem to have misperceived somewhat the importance of advanced training and research at their institutions, only one of which is a university. The *Should Be* results for the two groups, however, are different in several interesting ways: Faculty attach slightly greater importance to the academic and intellectual development of students and less importance to the development of their personality and values; students give much greater emphasis to vocational preparation, attach greater importance to the socially oriented goals (Public Service, Egalitarianism, and Social Criticism), and see greater value in a traditional collegiate, "Joe-College" environment.

Figure 1

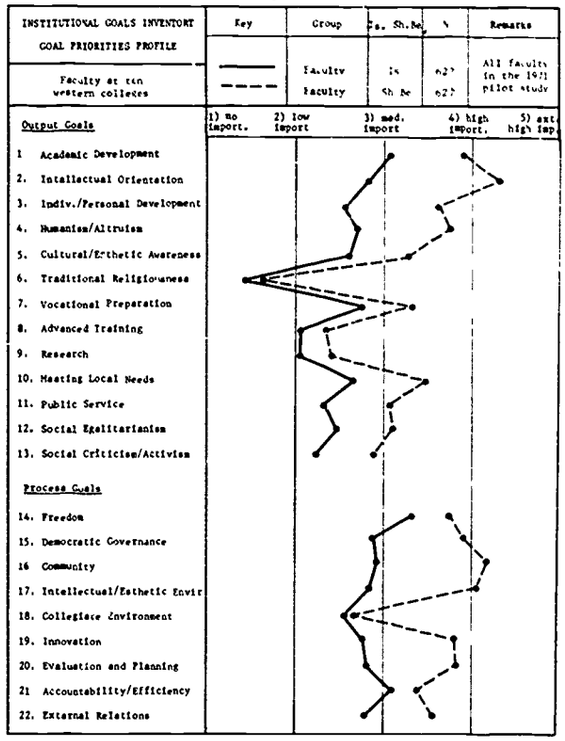
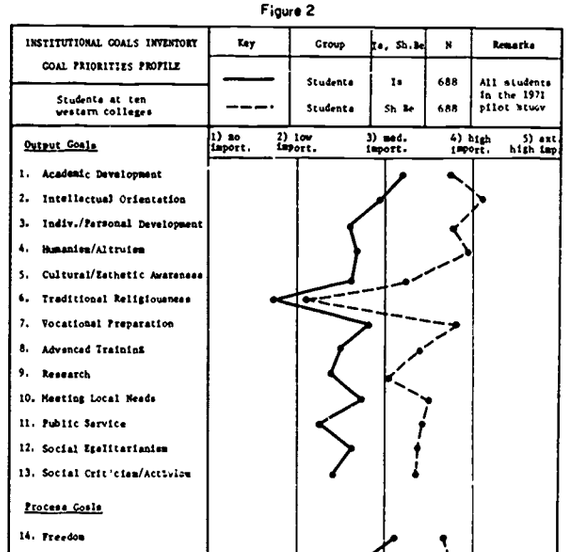
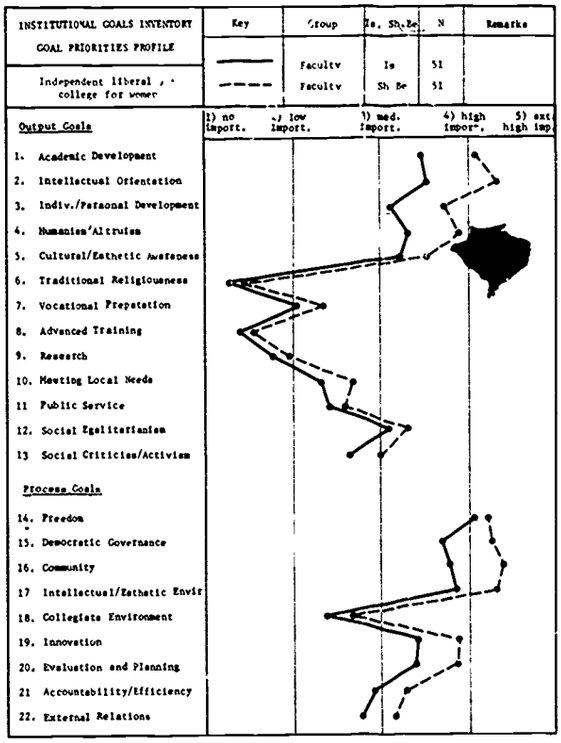


Figure 2



Figures 3, 4, and 5 depict goal-beliefs for faculty and students at a liberal arts college for women in California. Most striking in Figure 3 is the closeness of the *Is* and *Should Be* profiles. The 51 faculty respondents appear to be reasonably satisfied with the existing intellectual-nonvocational goal structure of the college as they understand it. Indeed, the *Is* profile is generally well above the 10-college faculty norm.

Figure 3



The students at the college, however, are less sanguine about the college's present goals (Figure 4). *Should Be-Is* discrepancies, in consequence, are larger. In particular, compared to the faculty, the students do not place as much importance on student development, either cognitive or noncognitive, or on the process goals of Freedom, Democratic Governance, Community, and Intellectual/Esthetic Environment.

When the *Should Be* profiles for the faculty and students at the college are lined up together (Figure 5), the potential for conflict between the two constituencies about college goals comes into sharp focus. Compared to the faculty, the students want somewhat less emphasis on purely academic work, they want the college to assume

Figure 4

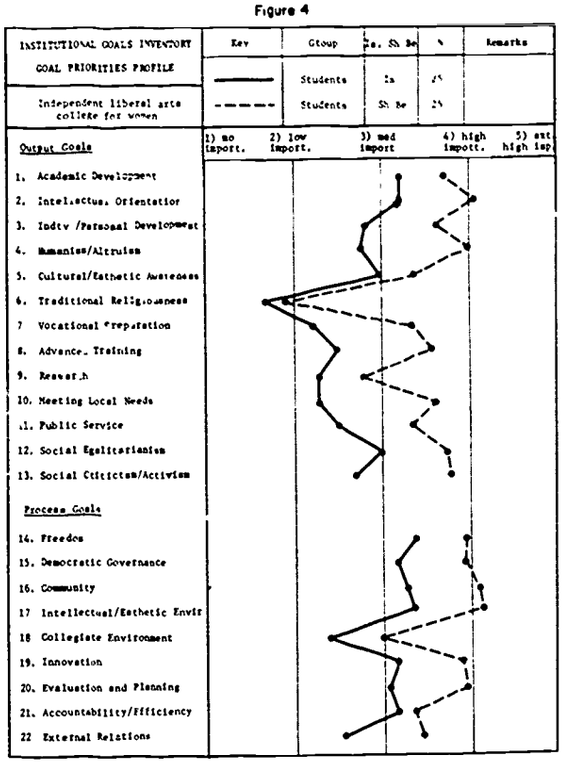
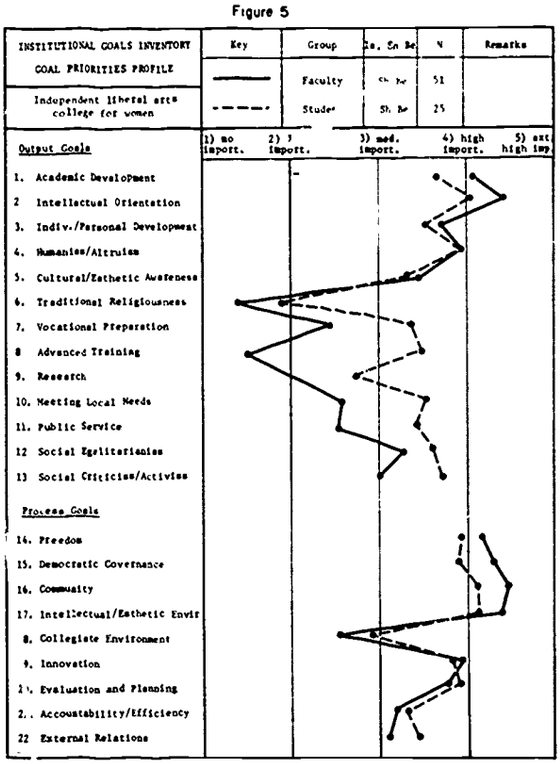


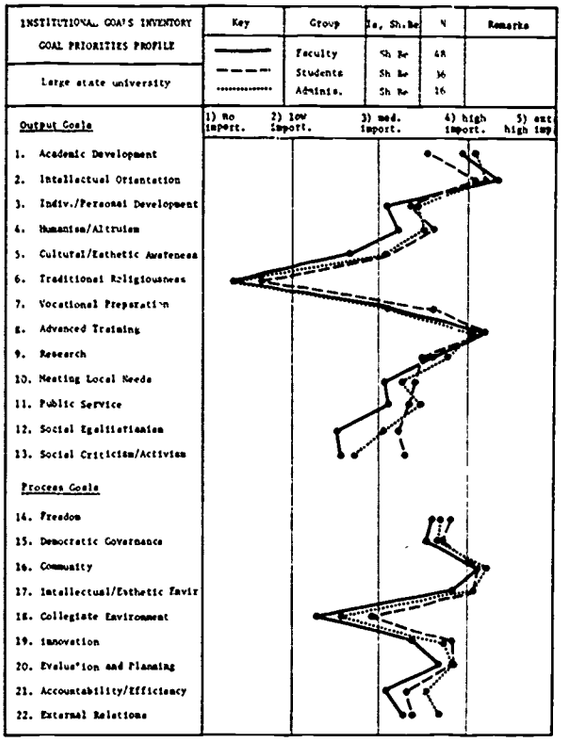
Figure 5



a more socially active, less "ivory-towerish" posture, and, most important, they want vocational training, including advanced professional training, in which the faculty are generally disinclined to have the college engage.

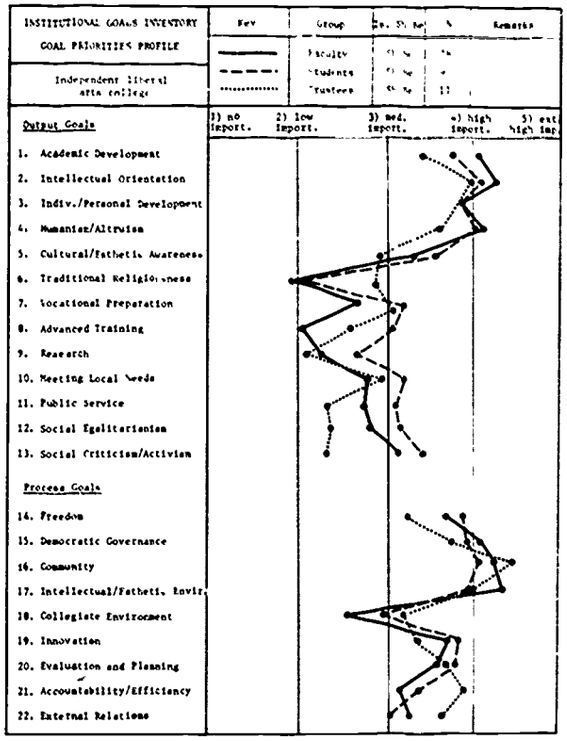
In Figure 6 are the *Should Be* profiles for samples of faculty, students, and administrators at a large state university in the Northwest. The few differences between the three groups are generally understandable, given the prevailing stereotypes. Thus, the students stand relatively high and the faculty low on the noncognitive student development goals, faculty low on the socially oriented goals, and administrators high and faculty low on the accountability process goal. Interestingly, this sample of students was as supportive of university research as were the faculty and administrators.

Figure 6



The independent liberal arts college profiled in Figure 7 has an historic tie with the Presbyterian Church and is the one institution in the study at which trustees filled out the IGI. Again, many of the differences in the *Should Be* ratings could perhaps have been predicted: faculty high on cognitive learning goals, trustees low on two of the three noncognitive learning goals, trustees relatively high on the Religiousness goal, students high and trustees low on the socially oriented goals, especially Egalitarianism and Social Criticism, and trustees low on Freedom and high on Accountability/Efficiency.

Figure 7

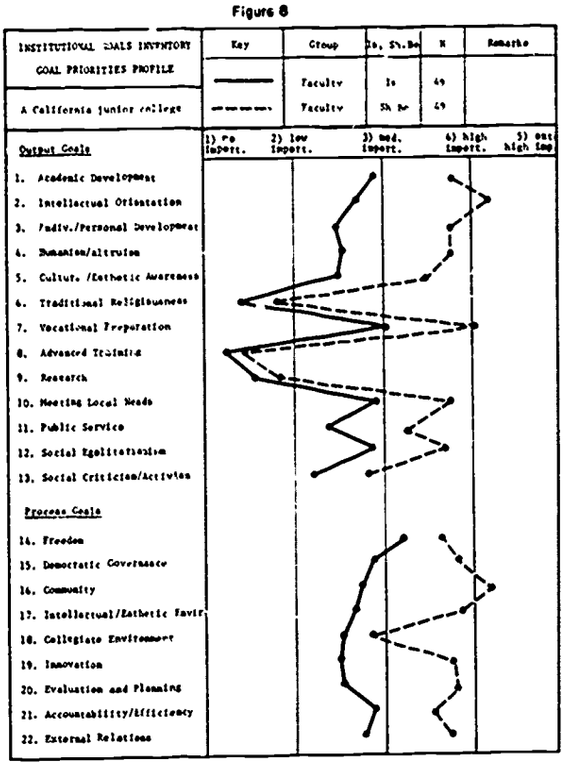


Is and *Should Be* judgments of the faculty at a California junior college are shown in Figure 8. To some extent, the output goal *Is* profile reflects common understanding about the role of the public junior college, although the *Is* score on Vocational Preparation is not a great deal higher than the 10-college norm (which includes only one public junior college), and the teaching goals (1 through 5) are not receiving the stress that might have been expected. Meeting Local (community) Needs and Social Egalitarianism (as manifested, for example, by open admissions) are seen by the faculty as relatively important goals, as one would expect at a public junior college.

Of significance in Figure 8 are the numerous sizable *Should Be-Is* discrepancies. With regard to the output goals in particular, this faculty would have the college do much more in the areas consistent with the public junior college

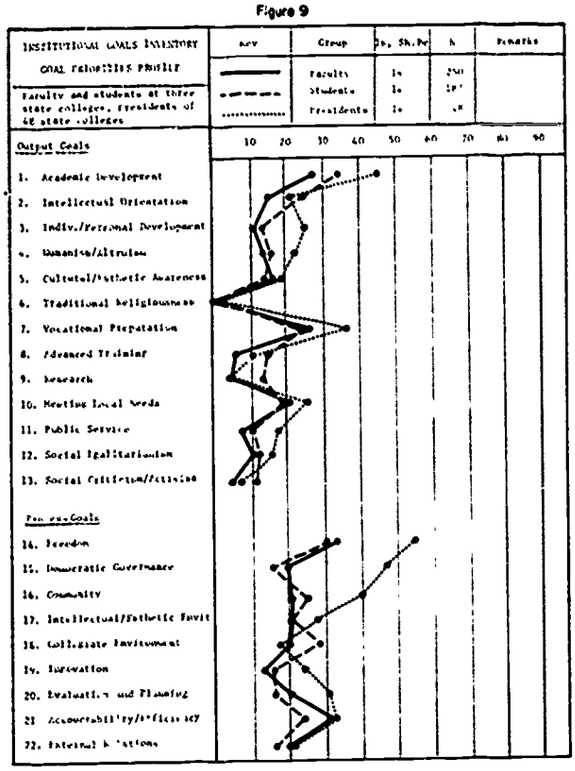
ethos—give greater stress to the various teaching goals, do much more in the way of vocational preparation of students, and engage more in public service and socially oriented activities. Also important are the several large discrepancies in the process goal profiles. The faculty seems to be longing, in particular, for a college environment characterized by a stronger sense of community (expressed as interpersonal trust, openness of communication, and so forth), intellectual excitement, and innovation. Compared with some of the faculties studied, notably public university professors, this faculty also welcomes increased systematic evaluation of college programs and efforts to implement institutional accountability.

Figure 8



Profiles for State College Constituencies. Figures 9 and 10 give the *Is* and *Should Be* profiles respectively for faculty and students combined across the three state colleges in the sample, as well as profiles for a sample of 48 presidents of member colleges attending the 1971 Summer Council of the American Association of State Colleges and Universities at Black Hills State College in Spearfish, South Dakota. A simpler scoring method was used with these data because the responses of the presidents had to be hand-scored. Mean percentages rather than means of the item means were calculated. The two scoring methods yield essentially the same profiles, that is, the same rank-ordering of scores. The mean percentage method uses only the two highest of the five possible ratings for each item. Thus, for a given group of respondents, the percentage of the group answering either *Of Extremely High Importance* or *Of Very High Importance* is computed for each of the five items in a given goal area (for example, Academic Development) and then the mean of those five percentages is calculated. In fact, all 25 constituent groups (students, faculty, administrators, and so on) across the 10 colleges were scored both ways originally. For each of the 25, a rank-order correlation was computed between the two sets of *Is* scores and the two sets of *Should Be* scores. The mean of the 50 *rho's* was .97; the lowest was .89.

Figure 9



The student and faculty *Is* profiles shown in Figure 9 tend to be somewhat lower than the respective 10-college norms (based on mean percentage calculations not illustrated in Figures 1

and 2). The relatively low output goal scores suggest that, insofar as faculty and students are concerned, their institutions have no distinct mission that no special emphasis, compared to the other kinds of institutions, is placed on any of the kinds of output goals covered in the IGI. Specifically, the state college faculty *Is* scores were relatively low for the first five student-development goals, for Advanced Training, and, by generally large margins, for process goals 14, 15, 16, 17, and 19. The lone score above the norm was for Accountability/Efficiency. Student *Is* scores, notably similar to those of their professors, were furthest below the 10-college student norms on goal areas 3, 4, 5, 11, and 12. They stood above the norm only on goal area 18–Collegiate Environment.

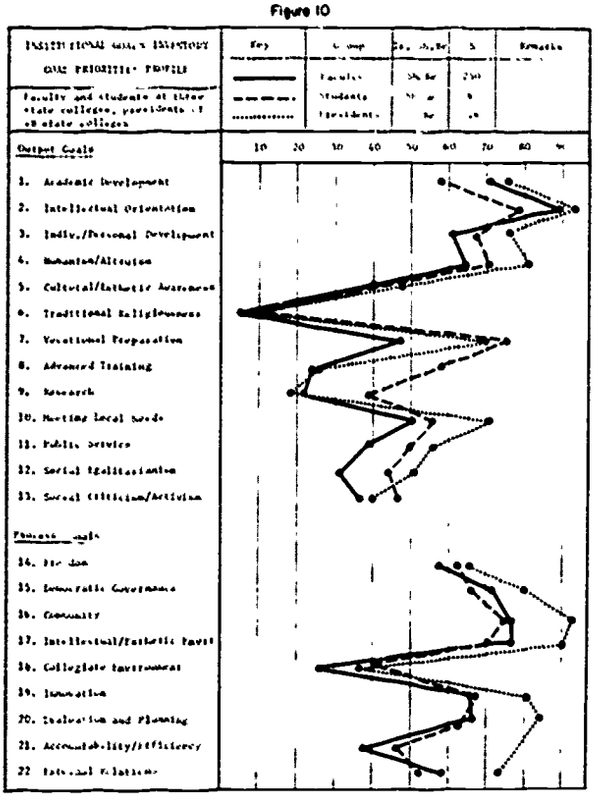
The *Is* profile of the state college presidents on the IGI (Figure 9) tends to lie above those for both faculty and students. The presidents perhaps have a more idealized and naturally ego-involved view of their campuses. Still one may wonder what the reality of the situation is, or whose version of reality is "truest", regarding, say, Academic Development, Freedom, and Democratic Governance.

The administrators at the university depicted in Figure 6 had *Is* scores above faculty and students on 20 of the 22 goal areas. Administrators also tend to score above faculty and students on ETS's Institutional Functioning Inventory (IFI), an instrument developed by the Higher Education Research Group to help illuminate how faculty, students, and administrators perceive an institution's current administrative policies, teaching practices, and academic and extracurricular programs. On the other hand, students typically (and naturally, one supposes) score relatively low on the Freedom and Democratic Governance variables, which are contained in both the IGI and the IFI.

The *Should Be* profiles (Figure 10) for state college faculty and students are quite similar to the respective norms (faculty are somewhat low only on Social Egalitarianism and Accountability/Efficiency); the discrepancies between *Is* and *Should Be* judgments, consequently, are relatively large. These people seem to be saying that they would like to see much about their colleges changed.

But if these faculty and students—discontented, frustrated, idealistic see much room for change, the presidents want something akin to a whole new order. Their average *Should Be-Is* discrepancy is larger than that of any constituent group at any college in the spring study. These presidents (with the faculty) want their institutions to maximize the academic and intellectual development of undergraduates, (with the students) to give more attention to their development as complete persons, (with the students, but, importantly, less so with the faculty) to stress vocational preparation, (with the faculty, happily) *not* to emphasize research and advanced training, and (more so, typically, than the faculty) to become more engaged in community service and social action. As regards the process goals, the presidents yearn for something of an organizational utopia: a genuine community, democratically governed and intellectually exciting, characterized by innovation, evaluation, planning, accountability, and good relations with off-campus interests.

Figure 10



Reporting Strategies. There are other ways, beyond simply plotting profiles, for organizing data from the IGI. For example, using data from

the college depicted in Figure 7. Table 1 gives a rank-ordering of *Should Be* scores for the three constituent groups at the college. In the right-hand column is a goal-priority ranking for the three groups combined, which assumes an equal voice for each group in establishing priorities. Different weights, of course, could be assigned to the different constituent groups, if determined to be appropriate; such determination, however, would reflect rather critical assumptions or decisions about how authority is to be distributed on the campus.

TABLE 1: IGI GOAL RANKINGS FOR THREE CAMPUS CONSTITUENT GROUPS

(An independent liberal arts college)

		Faculty (N=78)		*Students (N=90)*		*Trustees (N=11)*		*Combined Constituencies*	
	Output Goal Areas	*Should Be*	*Rank*	*Should Be*	*Rank*	*Should Be*	*Rank*	*Should Be*	*Rank*
1.	Academic Development	4.01	6	3.72	10	3.46	10	11.19	7.5
2.	Intellectual Orientation	4.41	1	4.14	1	4.08	2	12.63	2
3.	Individual/Personal Development	3.93	7	3.92	6	3.96	3	11.81	5
4.	Humanism/Altruism	4.12	4	4.04	3	3.58	17	11.74	6
5.	Cultural/Esthetic Awareness	3.34	11	3.53	11	2.94	15	9.81	13
6.	Traditional Religiousness	2.07	22	2.04	22	2.74	16	6.85	22
7.	Vocational Preparation	2.82	17	3.32	14	3.15	12	9.29	14
8.	Advanced Training	2.06	21	3.12	17	2.57	18	7.85	20
9.	Research	2.31	20	2.69	21	2.11	22	7.11	21
10.	Meeting Local Needs	2.93	15	3.28	15	2.98	14	9.19	15
11.	Public Service	2.77	18	3.07	19	2.47	20	8.31	19
12.	Social Egalitarianism	2.85	16	3.17	16	2.51	19	8.53	18
13.	Social Criticism/Activism	3.15	13.5	3.47	12	2.40	21	9.02	16
	Process Goal Areas								
14.	Freedom	3.76	9	3.90	7	3.31	11	10.97	10
15.	Democratic Governance	4.05	5	3.95	5	3.82	6	11.82	4
16.	Community	4.25	3	4.06	2	4.44	1	12.75	1
17.	Intellectual/Esthetic Environment	4.30	2	3.98	4	3.95	4	12.23	3
18.	Collegiate Environment	2.63	19	3.00	20	3.13	13	8.76	17
19.	Innovation	3.80	8	3.88	8	3.47	9	11.15	9
20.	Evaluation and Planning	3.68	10	3.84	9	3.67	7	11.19	7.5
21.	Accountability/Efficiency	3.15	13.5	3.34	13	3.93	5	10.42	11
22.	External Relations	3.26	12	3.08	18	3.65	8	9.99	12

Another strategy for using IGI data in setting priorities, illustrated in Table 2, involves considering not just the *Should Be* scores but also the size of the discrepancy between *Is* and *Should Be* ratings. In deliberating, for example, how resources are to be allocated, one could argue that *both* what people want the college to accomplish (the *Should Be* ratings) *and* how far the college has to go to get there (the *Should Be-Is* discrepancy) are important. The *Should Be* plus discrepancy analysis could be repeated with other campus constituent groups and a priorities ranking computed that reflects both factors (*Should-Be* and discrepancy) across all constitutencies.

TABLE 2: "SHOULD-BE PLUS DISCREPANCY" GOAL RANKINGS

(Independent liberal arts college faculty: N=78)

	Output Goal Areas	*Is*	*Should Be*	*Discrepancy*	*Should Be Rank Order*	*Discrepancy Rank Order*	*Should Be + Discrepancy Rank Order*
1.	Academic Development	3.16	4.01	0.85	3	4	4
2.	Intellectual Orientation	2.97	4.41	1.44	1	1	1
3.	Individual/Personal Development	2.89	3.93	1.04	4	2	3
4.	Humanism/Altruism	3.20	4.12	0.92	2	3	2
5.	Cultural/Esthetic Awareness	2.90	3.34	0.44	5	10	6
6.	Traditional Religiousness	2.15	1.97	0.18	13	12	13
7.	Vocational Preparation	2.32	2.82	0.50	9	9	10
8.	Advanced Training	1.90	2.06	0.16	12	13	12
9.	Research	1.90	2.31	0.41	11	11	11
10.	Meeting Local Needs	2.41	2.93	0.52	7	8	8
11.	Public Service	2.17	2.77	0.60	10	7	9
12.	Social Egalitarianism	2.12	2.85	0.73	8	6	7
13.	Social Criticism/Activism	2.40	3.15	0.75	6	5	5
	Process Goal Areas						
14.	Freedom	3.33	3.76	0.43	5	7	6
15.	Democratic Governance	2.87	4.05	1.18	3	2	3
16.	Community	2.96	4.25	1.29	2	1	1
17.	Intellectual/Esthetic Environment	3.18	4.30	1.12	1	3	2
18.	Collegiate Environment	2.82	2.63	0.19	9	9	9
19.	Innovation	2.88	3.80	0.92	4	4	4
20.	Evaluation and Planning	2.94	3.68	0.74	6	5	5
21.	Accountability/Efficiency	2.95	3.15	0.20	8	8	8
22.	External Relations	2.80	3.26	0.46	7	6	7

Also, one might argue that output and process goals are fundamentally different things and that they ought not to be ranked together. Table 2 has the two categories ranked separately.

Finally, since item response distributions by frequency and percent are included in the standard IGI score report from ETS, colleges can analyze the responses to individual items in the inventory. An example for the Figure 7 college is illustrated in Table 3.

Planning for Effectiveness: Brief Notes

Setting goals. I have tried to stress that institutional effectiveness is best understood in terms of the degree of achievement of accepted institutional goals and program objectives. In the previous section, I discussed a strategy by which a college community can articulate the beliefs its present members hold about goals for the institutions. These understandings are essential to the goal-setting process; at most private colleges, which still outnumber public ones, such internal beliefs are perhaps sufficient. However, in determining goals at public institutions, at least two other general factors must enter in.

First, it seems in the nature of a moral imperative that public taxpayer-supported colleges and universities be responsive to the educational needs of their taxpayer constituency. Put this way, few would object. Yet, one wonders to what extent the educational interests of citizens are considered in the deliberations of various academic senates, curriculum committees, and long-range planning groups. Indeed, assuming

TABLE 3: PROPORTIONS INDICATING THE GOAL TO BE EITHER *OF EXTREMELY HIGH IMPORTANCE* OR *OF HIGH IMPORTANCE*

			Faculty (N=78)	*Students (N=90)*	*Trustees (N=11)*
26.	To provide opportunities for students to receive training for specific occupational careers, such as accounting, engineering, and nursing.	*Is*	21%	10%	0%
		Should Be	32	51	36
86.	To excel in intercollegiate athletic competition.	*Is*	24	26	18
		Should Be	9	11	18

their importance is recognized, how can the educational interests of area taxpayers become known? One important way is through market research. Colleges and universities or regional systems could survey the adults in their regions, focusing particularly on high school seniors, to determine what sorts of educational programs they would take advantage of from the standpoint of content and method of instruction (on or off campus, for example). Historically, of course, the specialized interests of the professors on hand have probably exerted the most influence on developing new courses and programs, but the influence of external interest groups has also been a major factor.

I can see it now: The owners of the funeral parlors in the county are talking together over a cadaver about how much money they're not making because they have to train their own undertakers. One says, "Hey, maybe we can get the state college over in Dranconia to set up a program; they could call it 'mortuary science' if they want." And another says, "Great idea. And say, one of the trustees of Dranconia State goes to my church, for Chris' sake. I'll sound him out about it." And on it goes from there. Curriculum development solely in response to external interest-group pressure, like putrefaction, is probably intolerable. However, if 200 or 300 people in Dranconia's regional market survey say they are interested in becoming embalmers, maybe their educational need should be met.

For institutions that are part of regional or state systems, yet another factor in establishing institutional goals will be the broad conception, set forth at levels above the individual campus, of the kinds of higher educational activities that are to be carried on across the region or state. Development of "master plans" and assignment of "missions" to "component campuses" is the stuff by which "superboards" live. One may hope that they do their work democratically and rationally, giving attention to human as well as economic, political, and other considerations. Coordination, when sensible, *is* in the public interest, and it is proper that the goals of each campus in the system in part reflect regional and state plans (8).

In sum, goal setting at the public institutions should involve integrating the desires of people on the campus with those of the citizens in the region and the statewide planners. High orders of academic statesmanship will be required at several levels to reach goal accommodations reasonably satisfying to all involved.

Organizing to plan. In recent years, planning methodology has become a specialized and technically refined field, as anyone on the mailing list of the National Center for Higher Education Management Systems at WICHE can appreciate. Large corporations, and, more notably, the Defense Department under McNamara, have made good use of professional planners. Most are products of university economics departments. A good many exgovernment planning specialists have since fanned out into the universities, taking along their PPBS's., operations research techniques, computer simulation models, and so forth. University of California President Charles Hitch and numerous others on his staff, for example, are of this school.

Of course, business and military planning models are not entirely suited to academic settings, where the people affected are typically less than enthusiastic about their working lives becoming subject to bureaucratic plans. Again, it is up to campus leaders. Arrangements must be created enabling *participation* in the planning process by all who want to be, or can be cajoled into becoming, involved. Broad participation in institutional goal setting is realized through the use of an instrument such as the IGI. I do not suggest that planning will not mean constraints. It will. The really important point is that the constraints be decided upon through democratic participation.

Participation not only helps to legitimize the plans, it has the potential for improving their quality, their goodness. Planning can perhaps be simply defined as the process by which means are specified for reaching predetermined ends. What is needed are ideas about means, and the more people actively contributing such ideas, the greater the likelihood of a number of really good ones finding their way to the surface.

Most campuses of any size will need a more or less formally organized, ongoing planning group or office. Its staff would include specialists in budgeting and financial planning, in managing large masses of information, in using computers, and so forth. It should also include idea men and women on a continuing basis: a full-time director; two or three professors on a yearly rotating basis, released half or two-thirds time from their departments; a like number of students, rotating yearly and paid for their time; and a professor or an administrator on leave from some other campus, preferably one with a recent history of successful planning. Two kinds of people are needed: idea men who can raise questions and speculate about possibilities and can-do men who can get the answers.

Setting program objectives. In contrast to institutional goals, which may be conceived in fairly broad terms, the program objectives of the various organizational subunits of a campus—the departments, counseling center, alumni affairs office, and so on—need to be defined narrowly and precisely. Ideally, definitions of objectives should be *operational*, indicating clearly how to measure how successful the program has been in reaching its objectives. "Measure" can include many different kinds of operations; most often, it has meant merely simple counts: How many alumni gave how many dollars during the year, how many books were checked out of the library, how many graduates got jobs through the placement center? These particular examples suggest that in the nonacademic or noninstructional units of the campus, it may be fairly easy to define program objectives operationally.

But it is usually extraordinarily difficult to do so in the departments, unless one is satisfied with counts—unless, for example, the main objective of the psychology department is to graduate as many students in psychology as it can. Ordinarily, departments try to grow as large and attract as many students as they can. Certainly this must be one of the elementary principles of academic life. But then we're talking about reputation and power bases, not about objectives—at least not about instructional or learning objectives.

What makes the delineation of learning objectives so difficult, of course, is that they cannot be discussed without discussing the details of the curriculum. Properly, I think, a curriculum should be based on a set of learning objectives. The men and women in the department should first set forth the objectives and then proceed to build a curriculum to maximize those objectives. However, we could probably count on two hands the number of times it has ever worked out this way in American universities. My impression is that deliberations about departmental curriculums have become so fraught with anxieties (about "my course" being eliminated) that the general topic is just not much talked about in university departments anymore. Talk about a challenge to leadership!

One suggestion I have about setting instructional objectives is that departments consider casting their objectives in the form of questions or exercises in a comprehensive departmental examination. In large departments or schools with several subspecialties, there could be several examinations. The idea is that some level of performance on the test would be required for graduation. This brings us to the problem of defining effectiveness.

Defining Effectiveness

There are at least five ways that colleges can usefully conceive of institutional effectiveness.

Each approach lends itself to fairly ready measurement (4. 9).

But before getting into these, I want to dispose of a semantic problem that has been bothering me. Quite frequently we hear academic statesmen speak about "quality," or "institutional quality." Leaders at my alma mater, Berkeley, are voicing concern about a decline in the *quality* of the university as a result of budget cuts; others, in New York perhaps, are concerned about "educational quality" being diluted by a system of external degrees. I would like to think that "effectiveness" and "quality" mean the same, that an institution that is effective, according to one or more of the criteria to be outlined, also has quality or is of high quality. Yet people who speak about quality usually have in mind such things as granting admission only to the most academically able students, conducting instruction as much as possible at correspondingly high levels, and maintaining prestigious graduate departments staffed by Ivy League PhD's and Nobel laureates. Traditional and elitist, this notion of quality has little bearing on any of the definitions of effectiveness that I am presenting here. To be sure, a star-studded faculty will attract many talented graduate students. Yet the job market for new PhD's being what it is, production of many first-rate PhD's may be a somewhat hollow index of effectiveness.

(1) *Student learning.* The first and the most important criterion of institutional effectiveness is how much of what the college wants its students to learn they, in fact, do learn. To find out, some kind of comprehensive examination would be needed. It could be made up of tests of specialized knowledge (to which I alluded earlier), of general knowledge across the sciences and humanities, of something daring like generalized problem-solving ability, or, even more reckless, of the basic skills of reading, writing, and arithmetic. Remember, we are not interested in the absolute level of test performance, except, perhaps, to determine who gets degrees; our interest, instead, is in test gains. A test of specialized knowledge would be given to students at the time they begin their major field work; the others would be taken at the beginning of the freshman year. All would then be repeated at the end of the senior year. It's the old idea of senior comprehensives. Institutions in multicampus systems could usefully use a common set of examinations, cooperatively constructed by people from the several campuses.

(2) *Student values development.* If asked about it, most people on most campuses, I think, would say that the college ought to have some impact on the values, attitudes, and commitments of students. In some way or another, they should be better people by the time they leave the campus—the public college campus included. While tests in these areas are by no means as refined as available academic examinations, there are measures of qualities such as social conscience, moral development, and altruism that are fairly widely used and could be included in both the proposed freshman and senior comprehensives. Some legislators would be impressed by data that show no more than that students do not become more cynical about American political institutions after four years at Dranconia State.

(3) *Programmatic responsiveness.* Public higher education, more so than the private sector, has a responsibility to provide a wide range of learning experiences for individual citizens and to otherwise operate educational programs that serve the interests of the region, state, and nation. We can usefully think of responsiveness in two ways: first, programming to meet educational needs as they are presently determined to exist in the region; and second, anticipating future educational needs and programming accordingly. The first is related to what I said earlier about market research, by which could be determined existing needs in the region for things like seminars to upgrade the competencies of various kinds of professionals; specific career preparation programs such as nursing, industrial personnel work, and computer technology; special services for women who wish to join the job market; adult basic literacy training; and so on.

The second kind of responsiveness assumes rapid social changes in the land and sees the need for the institution to be in tune with these changes and possibly even help determine their direction. Planners and other idea men on the campus would be called upon to engage in some futuristics, to think about what the region or nation is likely to be like five, ten, or twenty

years in the future. Then, the task is to develop programs, not just training programs in such areas as child-care administration, community health services, consumer information services, and birth control and family planning, but learning experiences for entirely new audiences such as workers on a four-day week. The point is that campus planners would be initiating—opening up totally new fields rather than merely responding to demonstrated needs.

Launching major innovations is never easy, for a host of reasons. Brand new programs are always calculated risks: it is best to begin on a small scale and in a spirit of experimentation. With the money situation what it is, new programs will generally have to be offset by cutbacks in existing programs of lower priority or across-the-board adjustments of some sort. The task of initiating innovative programs should always include a search for foundation or government seed money. And it will not be easy to integrate every new program with internal campus understandings about the general goals of the institution. Nevertheless, programmatic responsiveness —both to present exigencies and to a conception of the future—is, in my opinion, a most important index of college effectiveness, perhaps second only to student learning.

(4) *Campus morale.* Here I have in mind such qualities as faculty and student satisfaction with the general worth of the place—the sense that the college is a good place to be teaching and studying, commitment to the central values of the institution, cooperativeness, mutual respect, interpersonal trust. Word seems to get around about demoralized campuses as well as about those that are "together." In regard to evaluation of campus morale, ETS's Institutional Functioning Inventory is a fairly good measure of institutional esprit.

(5) *Number.* Most administrators, and others, have become quite adept at using numbers—various application and enrollment figures, for example—in justifying and describing the work of the institution. Simple counts are undoubtedly the most common currency for reporting about campus operations and probably the one most readily understood in the upper echelons. To be sure, numbers can often be impressive, as when Dranconia's Executive Vice President reports 5,211 citizens, average age 45.73, traveling an average of 17.87 miles to participate in the college's continuing education program, with all these figures up "significantly" from the previous year.

I have placed the numbers criterion last because I think it should be downgraded in the total scheme of things, which won't be easy with continuing enrollment pressures and no additional money. However, reliance on numbers as an effectiveness criterion encourages production-line arrangements and attitudes that, in the long run, are not in the best interest of anyone.

* * *

In closing, let me return to an earlier point about trying not to respond to present dilemmas only in the terms of the budget cutter and efficiency auditor and doing nothing but find ways to educate more people at cut-rate prices.

Instead, academic people, after getting themselves together about the goals of their institutions, should go on the offensive. We can perhaps begin by noting that American higher education has been to some extent the victim of its own success—that, for example, the universities were *too* successful in turning out *too* many highly trained people in the 1960s. We can point to the promise of new achievements in the national interest in the years just ahead, such as universally meaningful higher education, broad university-based efforts to improve urban living conditions, and similar efforts to improve the quality of the physical environment all across the land. We can take a somewhat longer view and point out that there are already many indications, such as new communications technology and greatly increased leisure time, that we may soon be reaching something akin to a true learning society and that the nation's colleges and universities will be called upon for aid on a scale that makes any presently conceived learning delivery plans pale into insignificance. We must testify that higher education is too essential to a sane society, to a civilized existence, to the capacity of individuals to live productive and joyful lives to be consigned to the back burners of the state's fiscal stoves.

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