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ABSTRACT

The seven issues discussed represent a consolidation of the larger number of urgent educational problems that faced the States in 1966, as well as those identified by the Steering Committee of the Education Commission of the States at a meeting in December of that year. The issues were first assigned as paper discussion topics, the writing of which was delegated by the commission to outstanding and competent educators. The papers and their authors are: (1) Barbara Finberg, "Six Years Old Is Too Late: How Can Early Childhood Education Be Strengthened by the States?" (2) Lyman A. Glenny, "Long-Range Planning for State Educational Needs"; (3) Walter K. Beggs, "Educators and Politicians: Respective Roles in Decision-Making"; (4) Lloyd N. Morrisett, Sr., "Change and Development in State Departments of Education"; (5) T. M. Stinnett, "Criteria and Procedures for Regular Review of Teacher Salaries, Certification and Retirement Plans"; and (6) Norman C. Harris, "Education Beyond the High School: Interrelation of Academic and Vocational-Technical Education." (Author/DN)

SEVEN CRUCIAL ISSUES IN EDUCATION:

ALTERNATIVES FOR STATE ACTION

Education Commission of the States
Denver, Colorado
May 7, 8, and 9, 1967

Foreword

At its December, 1966, meeting in New Orleans, the Steering Committee of the Education Commission of the States identified a number of urgent educational problems--"Action Targets," they were called--currently facing the states. These were significant problems requiring exploration and clarification before rational action could be taken by the states.

The seven issues selected for discussion in the following papers represent a consolidation of the larger number of "Action Targets" identified at the New Orleans meeting. They are presented here for discussion at the Denver meeting of the full Commission, discussion which will lead to needed state action.

The writers of these seven papers were selected for their outstanding experience and competence in their several fields, but were given a free hand to develop their ideas as they saw fit. Therefore, while the Commission presents these papers with a very real pride in the expertness and creativity which they represent, it does not necessarily endorse the positions taken by the authors. Any official position taken by the Education Commission of the States must come, of course, through the formal vote of the Commissioners.

--Wendell H. Pierce
Executive Director.

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SIX YEARS OLD IS TOO LATE:

HOW CAN EARLY CHILDHOOD EDUCATION BE STRENGTHENED BY THE STATES?

by

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A Paper Prepared For

THE EDUCATION COMMISSION OF THE STATES

Denver, Colorado
May 7, 8, 9, 1967

Should we begin to educate our children before they are six years old? There are some persons in the United States today who argue that a child should be allowed to play freely and grow at his own pace during his first six years. Besides, they point out, he is learning all the time--to walk, to talk, to understand elementary cause and effect relationships, to recognize letters, numbers, and other symbols.

Psychologists and other scholars who favor early education reply that waiting until six may be all right for the middle-class child whose parents and environment are constantly helping him learn, but even the middle-class child's curiosity may not be getting the optimum amount of intellectual nourishment. Certainly that of many a disadvantaged child is not. There is a large body of evidence to support this view. The Swiss psychologist, Jean Piaget, who has studied the development of children's ability to think, has observed that "The more a child sees and hears, the more he wants to see and hear." American psychologist Benjamin Bloom has concluded that the environment's average contribution to intellectual development is 20 I.Q. points, one-half of which occurs by the age of four, two-thirds by the age of six. Inasmuch as only 20 I.Q. points separate a child considered minimally educable from one who is believed to have the capacity for higher education, what happens to a child in his first six years is, if one agrees with Bloom, all-important.

We know that learning can be enjoyable for children and that it need not be physically, psychologically, or intellectually damaging, as some have feared. Indeed, some psychologists have shown that early learning produces happier, healthier children. And there is evidence that early learners--children who learn to read at age four or five, for example--retain for at least five years their lead over children who start the same subject at age six.

In contrast, babies raised in orphanages without stimulating sights and sounds, without opportunities to exercise outside the crib, and without anyone to talk specifically to them are frequently late in learning to use their visual and auditory abilities and often do not learn to walk and talk until they are four or five. Their thinking is impaired, too: Lev Vygotsky, a Russian psychologist, pointed to the near impossibility of thinking, of forming ideas, when one does not know the words to refer to objects or actions.

Scientists' findings about early learning do not mean that every child should be subjected to formal learning from day one or year one, nor do they mean that children should begin school at age two or three. Their findings do tell us that young children have a greater capacity for learning than we have recognized, and something about the stages of intellectual development through which they pass. We know a variety of methods that will help them learn. We do need more research to discover the limits of children's learning capacities, what different children can learn at different ages, and in what ways different ones learn best.

But while scientists and educators pursue these questions, the states have an unusual opportunity to contribute to our knowledge about early childhood education by trying out a wide variety of programs that will test or demonstrate what we have discovered to date. This paper describes some of the experimental programs that are underway and suggests ideas for others. But there is no pattern that has yet been demonstrated to be the best one for youngsters under the age of six. Although 71 percent of the nation's five-year-olds were enrolled in kindergarten or the first grade in 1965-1966, only 16 percent of the four-year-olds, and less than 5 percent of the three-year-olds, were attending nursery school or kindergarten. The states therefore have a great chance to work with cities, towns, and communities within municipalities to develop the programs that most closely meet the needs of their children and the resources of their community. They can explore the resources that now go into education, and what additional resources can be called upon. They can ask: Should classrooms, teachers, and money be allocated differently amoung the various levels of education--preschool, elementary and secondary, college and university? What contributions can the federal government make?

Because education, if it is begun early enough, can prevent, or at least partially correct, the retardation often associated with poverty, the new leaders in early childhood education have concerned themselves first with helping make up for the environmental impoverishment of the disadvantaged, and second with increasing the capacity of all children to learn. Yet James Coleman's report for the United States Office of Education, "Equality of Educational Opportunity," the recent Civil Rights Commission report, and experience in many classrooms show that socially and economically disadvantaged youngsters achieve more and have higher aspirations when they share a classroom with more advantaged children. Thus if pre-school-aged children from both disadvantaged and middle-class homes can be brought together to learn, the disadvantaged children will learn more and their motivation will be greater than if they learn alone; and middle-class children will learn, too. If we have to make a choice, however, there is no question that the nation should apply all that it knows about early learning to the disadvantaged first, and that they should have first call on the nation's classrooms, teachers, and funds.

Education and Day Care

To help the disadvantaged we need to develop two programs simultaneously: education and day care. One-fourth of all the mothers of children under the age of six are now in the labor force. These women are the mothers of four million preschoolers. According to Mary Keyserling, Director of the Women's Bureau of the Department of Labor, economic need is what leads the great majority of women with young children to work. Thousands of these women face the choice of either going on welfare so they can stay home with their children or working and leaving their children often inadequately cared for. The nation's licensed day-care facilities can hold only 225,000 children; approximately 38,000 children are left totally uncared for while their mothers work, and double that number are looked after by youngsters under the age of 16. Another 600,000 spend the day in "family day care," often a neighbor"s home, usually unlicensed, and in too many instances a place that offers the child neither toys nor any attention, barely a roof over his head. Thus, in many communities, early education without day care will fall short of filling the needs of the disadvantaged. And day care that does not provide education, too, is a sadly wasted opportunity.

Two experimental centers are exploring the value of an education day-care program for children who begin in one case at six months of age, in the other at six weeks. Julius Richmond and Bettye Caldwell in Syracuse, N.Y., and Halbert Robinson in Chapel Hill, N.C., the initiators of the programs for the under-one-year-olds, want to find out what planned, systematic learning experiences can contribute to the youngsters' total development: social, emotional, physical, and intellectual. To obviate the possible failure of the elementary school to follow up on the children's preschool experience, the Chapel Hill School Board has given an elementary school to that project so that it can take children through the sixth grade. This will provide an opportunity not only to learn how the children's preschool education affects their elementary school performance and their total development, but also to learn how the schools will have to change their programs to take account of what the preschool-educated children know when they enter the first grade. The more preschool education flourishes, the more elementary school programs will have to change.

Head Start, which represents a nation-wide, federally supported attempt to make up the deficits in disadvantaged youngsters' learning, does not represent a single method or curriculum for early childhood education. Children in Head Start programs are learning--and not learning--a variety of skills taught in a number of ways. Because only a very few, isolated programs have been subjected to systematic observation and evaluation, educators cannot compare the methods or curricula used or draw valid judgments about their relative effectiveness. At least one study shows, however, that unless gains in learning made in Head Start are followed up in the first grade classroom, the children will lose whatever benefits they have derived. (It is for this reason that Congress now has before it a bill to authorize $135,000,000 for Operation Follow Through in elementary schools next year.)

Day-care programs that are willing to meet Head Start's criteria can obtain Head Start funds. The combined programs would appear to offer an unusual chance to the states to improved both the care and education of their young children. Every state might explore the establishment of three kinds of programs:

educational day-care centers for children between the ages of three and six, the standard ages for day care, and for children under three years old as well;

training programs for women who can run the centers, whether for five children in their home or for many more in larger quarters;

a periodic consultation-inspection service for all centers.

Space will undoubtedly be a problem for larger groups, but many communities surely have recreation centers, neighborhood organization, churches, and even armories unused on weekdays that, with a little imagination and some money, could be turned into children's centers.

Parental Influence

If anyone every doubted the parents' role in children's learning, Head Start, current research, and observation all demonstrate the importance of parents' understanding, support, and help. Desire is not enough. The parents of poor Negro and Spanish-speaking children certainly want their children to have a chance for a good life when they grow up, just as middle-class Anglo-Saxon and Jewish parents do. But the poverty-stricken, uneducated parent often does not know how to help his child take advantage of the available resources, such as the public library (many of which now have children's sections). They may even unconsciously undermine the best efforts of the best teacher. A psychologist studying parents' influence on their

children's education tells about the poor, determined mother who was sending her child to Head Start. One day, while the psychologist was visiting the mother, the boy was so obstreperous that the mother finally threatened to punish him by making him read, rather than permitting him to play. Despite her good intentions, this mother's "punishment" could spoil reading for her son -- for either learning or enjoyment.

The importance of parents' attitudes and actions to their children's learning was pointed up by James Coleman, whose study for the U.S. Office of Education of the equality of educational opportunity reports that differences in the home and class background seem to affect a child's achievement in school more than differences in the schools. Even before Coleman's study, psychologists and educators believed this to be true, especially for young children. Susan Gray at George Peabody College was one of the first to experiment with home learning programs for the very young. She believes that disadvantaged three-year-olds who attend nursery school and whose mothers come to the school once a week to learn techniques of helping their children will learn more, and learn it earlier, than those whose mothers do not come to the school. So, she suspects, will their younger brothers and sisters.

A young psychologist in Washington, D. C. has recruited and trained "visiting tutors" (mothers whose children are in school) to go the homes of disadvantaged children between the ages of 14 months and three years. For one hour each day, these tutors play with the children and talk and read to them, using language as much as possible and encouraging the children to talk.

Robert Hess, at the University of Chicago, has pinpointed the mother's teaching style with her child as the crucial factor in a child's learning. If two mothers are asked to teach their children to sort a variety of small objects by color, the child whose mother explains the purpose of the "game" to him and how to go about it will complete the task correctly himself. A child whose mother only directs him, "Put that here; put that over there," without even naming "that" or its significant quality--color--will not understand the task and will not learn anything from it--names of colors, names of objects (car, wagon, chair, etc.), or the principles of classification or categorization. The mother is the preschool child's principal source of information and interpretation; if she cannot help her child learn the symbols of communication, relationship, and thought, nor interpret the organization of the child's environment and elementary rules of social intercourse to him, he will be stranded on an island of non-meaning.

The Denver Public Schools several years ago responded to the interests of Denver parents who wanted to help their children learn to read, but who did not know how. With the aid of two reading experts, the Schools produced an instructional program (available on both videotape and films) and a manual for parents. The program is designed to guide them in responding to their children's interest in reading, to avoid their "pushing" their children before they are ready to read, and to relax those parents who think their children "slow" in their progress toward reading; At the conclusion of the experimental period of the project, Denver reported that more than 85 percent of the parents felt that the method was good. Their children made significant gains in learnin g to read. The television series has now been shown at least once in more than 30 other areas of the United States, and thousands of other parents outside those viewing areas have purchased the manuals, indicating their interest in helping their children learn.

Such programs for parents, which become "home starts" for their children, offer a number of different opportunities for states and communities. The range of

possible programs includes having the mothers visit the school one day a week for instruction and observation; evening sessions once a week for both parents; sending visiting teachers to each child's home to work with the child only or with both mother and child; having visiting teachers go to homes where four or five children gather with or without their mothers. These programs can begin when the children are as young as six weeks and continue until the child is old enough for whatever step the community provides next--nursery school, kindergarten, or the first grade. By the time the child is three, good television programming for children might take much of the load from the visiting teacher; television could also provide weekly instruction and counseling to the parents in their home.

Programs for parents can also present some attractive benefits to states and communities. Such programs do not require scarce and expensive classrooms. A few well-trained teachers can train a large number of women as "visiting teachers" to go into the homes. A visiting teacher who spent up to an hour in each home could see at least four or five children in a full day, and if the children were gathered in groups she might see 20 or even 25 in a day. The children would have the benefit of individual or small-group attention; the visiting teachers, who might be high school dropouts or college graduates, would reach as many children as a teacher in a nursery school but cost far less. Employing as visiting teachers women who are on relief or otherwise unemployed would add to the extremely limited supply of nursery school and kindergarten teachers, and it would at the same time provide a career, earning capacity, and a new sense of self respect for the visiting teachers.

School Programs

School programs for under-six-year-olds have employed many experimental approaches. Mount Vernon, N.Y., has set up a nursery school for three-and four-year-olds to which mothers bring their children daily for one hour. A teacher, teacher trainee, and assistant teacher using Montessori and other self-teaching materials give individualized instruction to 12 to 15 children at a time. With five shifts of children every day, they can help 60 to 75 children daily.

In New York, Martin Deutsch, a pioneer in preschool enrichment education for disadvantaged youngsters, has added to the basic nursery school program special stress on the development of language, concept formation, and perceptual discrimination. His goal is to bring deprived children to the level of school readiness their middle-class peers enjoy.

A Jacksonville, Florida, kindergarten concentrates almost entirely on the same areas as Deutsch and on a child's perception of his physical size and coordination, all in a carefully sequenced curriculum. The teacher and her assistant usually work at a given task with four children at a time, regrouping the children weekly according to their individual rates of progress.

But Carl Bereiter and Siegfried Engelmann at the University of Illinois, argue that "mere enrichment of experience is not sufficient to enable the culturally deprived child to overcome his backwardness in skills necessary for later academic success." Instead, they have selected "specific and significant educational objectives and are teaching them in the most direct manner possible." Their educational objectives focused on the processes necessary for logical thinking, led them to concentrate on three content areas: language, reading, and arithmetic. The teachers, each of whom has specialized in one of the three areas, take four or five children at a time through

a fast-paced drill, requiring the full participation of every child throughout the 15 or 20 minute session. While acquiring information, these four-and five-year-olds are learning the techniques of problem solving--using what they know to find the answer to what they don't know.

Providing school programs seems the most natural course for a state or community to follow, since the precedent has been established and the administrative machinery is already set up. Whatever the organization of the program, however, the content and method of instruction will still be the keys to the child's learning.

Television

Another medium of instruction, much discussed but not yet tried or tested systematically, is television. Although little has been done to plumb the possibilities of this medium, it perhaps offers the most promising possibilities for presenting top-quality educational entertainment and planned learning experiences to large numbers of children. At present television programs can involve the viewer by leading him to participate while watching or afterward. Through technological evolution it may eventually be possible to engage a child in a kind of dialogue with the set. The child might watch at home, in a day-care center, Head Start classroom, cooperative nursery group in a home or apartment, or an apartment house recreation room. If a group watched together, they might be joined once a week by a visiting teacher who would bring related materials, show the children and mothers what they can do with them, and at the same time gather responses to the program. Once a week parents of preschoolers could watch a show previewing the coming week's programs and dealing with educational ideas, child care, and problems and topics of interest to them.

Television programs, which can be state-initiated, offer an advantage no other program can: they can be transported, by means of videotape, to every other state in the union. Educational television can now reach approximately two-thirds of the population of the United States, and it is still expanding. Although it might cost as much as $3 or $4 million per year to produce a really first-rate, one hour daily program for young children and a half-hour weekly program for parents, only three years of programming would be required, since the programs could be used over and over again. States could use federal monies from Title III of the Elementary and Secondary Education Act for this purpose, alone or together with other states, plus their own contributions. The programming itself must be good, however, or it will offer nothing more than is now available.

The State"s Choice

These examples of programs only begin to suggest the possibilities for nurturing the intellectual growth of young children, as well as their social, emotional, and physical growth. The possible organizational arrangements for preschool education include elements that may be used single or in combination. For children at home, there are parent training programs, cooperative play groups, visiting teachers, and television. For homes with missing mothers, working mothers, harrassed mothers, and other mothers who need it, every community ought to have good educational day care. It might take the form of what one writer has called "nursery-mats": neighborhood children's centers where a child could be left for an hour or all day, occasionally or regularly, and get both educational experiences and care. Educational day care might be a company-related, parent-run center for the children of the employees and community. Whatever the program, it should provide more than shelter and custody.

At minimum there should be educational toys (such as the Montessori materials), paper and paste, crayons, books, song and story records, and adults who encourage the use of language as well as make a cheerful, warm, and attractive children's center. Between the home program and all-day center lie the shorter, usually half-day group programs for learning, which may combine features of the other two--television parent training, and service as a nursery-mat, for example.

No one should limit his imagination to these suggestions for early learning programs, though. In fact we might envision a community child-service center that would provide all the services important to a preschooler's growth and development: post-natal and pediatric medical care, child psychologists, nutritional consultation and assistance (including meals for at least those in education and day-care programs), parent training, nursery school, day care, a children's library, music and art training, and supervised recreation.

Administration

Key factors in any program will be its administrative base and financial support. Early learning programs might be under the auspices of the public schools, separate public and/or private early childhood education agencies, or many community agencies. Any organizational framework, of course, only furnishes the setting in which the content of the program is offered. The content may range from relatively free play to highly academic, tightly structured instruction which is planned, sequenced, and systematic. The administrative structure should encourage flexibility, adaptation to the needs of the children, continual evaluation of the curriculum and the discarding of any ideas, procedures, or content that do not prove valuable for the children. The program should not become fixed in any pattern or difficult to change.

The administrative organization should also provide for close consultation with the primary schools in which the children will enroll, so that the schools can be prepared to build on the child's early experience. For this reason, cities in which a number of agencies are conducting preschool programs might consider establishing a council of preschool programs to foster communication among them and between them and the schools.

Though less attention has been paid to the possible ratios of teachers and other adults to children, this too is an area for experimentation and flexibility. There are in the United States and other countries very successful classroom programs for three-to-five-year olds, in which the ratio of adults to children is only one teacher to 25 or 30 youngsters. In contrast Head Start and many other early learning programs require one teacher and one teacher aide for every 15 children. Inside and outside the classroom we can undoubtedly find ways to capitalize on the increasing number of mothers who want to work when their children are in school. For mothers who are receiving Aid for Dependent Children, and for many others, too, helping young children learn would provide income and the satisfaction of making a contribution to society. And these women can help a far larger number of children than can possibly be aided if we rely solely on the meager supply of college-trained teachers who are or will be available in the next decade.

What Next?

Because the field of early learning is open, indeed in need of flexibility,

experimentation, and receptivity to new ideas and arrangements, state governments have an opportunity to lead the way. Working with municipal and private agencies, educational institutions and interested citizens, they can take the lead in studying community needs, resources, and goals. They can set guidelines for space, sanitation, nutrition, health, training, and care that will protect children and encourage high standards but without inhibiting experimentation (as would prohibitions against group care for children younger than a certain age and some regulations concerning the earnings of welfare recipients). They can encourage federal support of a variety of programs: day-care for ADC mothers' children, for instance; operning Head Start programs to all children (using other funds for the non-disadvantaged children); nutritional assistance; pre-service and in-service training programs for teachers, assistants, and aides; experimentation with television for children and parents; home start programs; and year-round programs that will efficiently and economically use schools and other facilities suitable for education in many ways and for many more hours than is now the practice.

Specific questions that state officials ought to examine include:

What are the needs of the young children in the state's communities? How should they be classified into target populations, and what should be the priorities for early educational attention?

How should the state use its funds, personnel, and classrooms? What should it encourage municipalities to do, and how?

How should funding be provided for children's programs? For the training of teachers, aides, and parents?

Under what auspices should child development programs and services be offered: through the education systems? Health administrations? A new children's agency? Federations of private and public agencies?

Should the state encourage a variety of approaches to solving similar problems to see what programs or elements are most effective? Or should similar problems be attacked by similar approaches?

How can the state coordinate all child-related services and facilities for the maximum benefit of children? For most effective and efficient use of the resources? For training purposes?

How can the state, given the totality of its resources, contribute not only to the total development of its own children, but also to our knowledge about how children develop? Might some state, for example, sponsor the creation of a first-rate children's television program which, if successful, could be offered to educational stations throughout the nation? Could another state undertake a state-wide trial of parent education?

In short, the states have a great opportunity to experiment. Monumental programs can make monumental mistakes, and in the still largely unexplored field of early childhood learning, such a mistake would be a national tragedy. The public demand for programs for young children is growing rapidly, however. More than half the states already have public kindergarten programs; education officers of ten states that do not recently met to discuss what their states should do. In an area where so much is to be done, and will be done, the initiative by states to try new ways, to gain experience on a small scale first, and to share that experience with the

federal government and other states can contribute greatly to the future of education in the United States and to the future of this nation's commitment to give each man his chance to search out, nurture, and use the best that is in him.

LONG-RANGE PLANNING FOR STATE EDUCATIONAL NEEDS

BY

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A Paper Prepared For

THE EDUCATION COMMISSION OF THE STATES

Denver, Colorado
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Task force and master plan teams are increasingly at work throughout the United States in relation to both the common schools and higher education. Dozens of new plans appear each year. Some cover only a few matters, others are comprehensive.

Why are the political as well as school and college leaders so much more concerned about long-range planning now than in previous years?

The first reason is that the number of students entering the elementary and secondary school systems began to increase rapidly in the early 1950's as a result of the post-war bulge in the birth rate. Over the years these enrollments appeared at successively higher grade levels until the middle 1960's when the youth reached college age. Because common school education is funded primarily by local school districts rather than by the state, the large numbers of students in the common schools have caused state authorities less financial concern than collegiate enrollments.

Now in the late 60's, we find the local school people asserting that local districts are poorly equipped to plan and to pay. They demand that the state furnish vastly greater sums of money and many additional services for elementary and secondary education.

This renewed pressure comes at the same time the state is pressed to finance and improve the burgeoning higher educational enterprise.

The states find higher education problems tougher than those of the common schools for the simple reason that financing public colleges and universities usually falls more directly on the state. The funding problem became increasingly serious from 1955 to 1964 as higher education doubled its enrollments. Now new projections of the U.S. Office of Education indicate that there will be another doubling of enrollments from 1963 to 1975. This doubling and redoubling results not only from the increased numbers of college-age youth but also because a greater proportion of young people attend college and stay in college longer than previously. The number of dollars required to support higher education will vary among the states depending on the number of students and many social and economic factors. Every state, however, is already confronted with the almost insurmountable problem of financing.

Moreover, rising costs are not confined to enrollment increases. Equally important is the proliferation of high cost biological, natural science, engineering and other specializations, particularly at the graduate and professional levels. Graduate enrollments now increase at an even more rapid rate than undergraduate enrollments. The U. S. Senate Committee on Labor and Public Welfare recently predicted graduate needs for the nation:

"Increasingly, colleges, vocational and technical schools, business and industry are requireing their professional employees to have some postgraduate education. Ten years ago, there were about 240,000 students enrolled in graduate school; last September, there were 570,000. By 1971, it is expected that there will be almost 1.1 million students in graduate schools across the country."*

To keep pace with his extraordinary growth in number and size of graduate programs, single purpose teachers colleges rapidly give way to state colleges and

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*Higher Education Amendments of 1966, Report No. 1677, October 5, 1966.

finally to universities with graduate schools. Institutions formerly devoted primarily to instruction now undertake, also, research and public service. These aspiring colleges look to the leading public universities as their model, each hoping to become the Michigan State University of its particular state. Many of these emerging institutions challenge the major public university for graduate and professional programs and for funds in the halls of the state capitols. Competition is intense.

With these two developments resulting from the influx of post-war babies into both the common schools and colleges, the state feels obligated to plan for both levels of education. Such planning must proceed even though the number of children in the first grade will show a decline by 1972. The declining birth rate will not be reflected in the high school for another nine years thereafter or in the college for another twelve years. By that time, however, other factors associated with the explosion of knowledge, the extension of educational opportunity to large segments of the population not reached currently, and imminent improvements through new media of instruction will increase costs of education. Hence, knowledge that the birth rate is dropping provides little solace for this generation of legislators and governors. Their problems will continue to be aggravated for the foreseeable future.

The quandary in some states is intensified by growing competition between the common schools and higher education for state funds. The common schools receive moderate increases in state aid compared to the more rapidly mounting appropriations for higher education.

A dimension of education, not directly related to numbers of students, which now requires the attention of political leaders in every state is the growing concern of parents and students with the quality of education. In almost universal demand are more highly qualified teachers; curriculum revisions; additional educational services; better textbooks, libraries and teaching aids; new language and science laboratories; and computerized equipment for instruction.

As a result of these intensifying pressures, governors and legislators are asking challenging questions.

What should be the states responsibility in relation to the expanding curriculums and services of the common schools? To what extent should the state control and finance their programs? How can the state provide a sufficient number of educational places for new students? How can the state determine which colleges should become full-fledged universities and which should develop different roles and functions? What types and extent of research and public service activities are appropriate for each campus? Where should new colleges or new types of institutions be developed? What level of financing is really required for each campus to maintain a quality program?

Faced with the necessity of answering such complex questions, the legislature and the governor turn to long-range planning as a basis for shaping sound public policy. That kind of planning, when properly conducted and implemented in some states, has provided some of the answers.

Machinery for Planning

A little known phenomenon is that the organization for obtaining data, making analyses, and formulating recommendations may ultimately determine the success of a long-range plan. Because means assume such importance, great care must be exercised in selecting the proper approach for conducting the plan. No single approach in all of its detail is likely to be appropriate for more than a single state. The process should be tailor-made. However, three general approaches can be identified. Depending on circumstances in particular states, these methods have decided disadvantages

as well as advantages. The form most advantageous to a state needs to be assessed in terms of political attitudes, general parochialism, educational perspective and available state resources.

The traditional planning method in education has been to employ out-of-state consultants from either a commercial firm or from educational institutions to gather the data and construct a plan. A second and more recent organizational method assigns the planning task to a permanent council or board which may later also be charged with implementing the plan. A varient of this second means is to thrust planning responsibilities on an ad hoc team of in-state experts (often voluntary) drawn from colleges and universities, from professional educational associations and from government, industry and the general citizenry. Still a third approach utilizes both the outside consultant and the in-state expert in the planning organization in an attempt to draw upon the strengths of both approaches.

The chief advantage in employing outside experts is their impartiality in treating sensitive issues on which emotions are running high. At the same time, from broad experience in many states, they provide fresh perspectives which may serve to further solutions on controversial issues. Such experiences may even provide several alternative solutions all appropriate for your state.

Outside experts may also bring decided disadvantages in that the persons who develop the plan have no responsibility for implementing it or for subsequent consequences. In other words, there is no responsibility for follow-through. Those of us who occasionally do such work are at times referred to as "horseback surveyors" and the appellation is not entirely inappropriate. Another important disadvantage is that some outside consultants may arrive at "standard" or "pat" solutions which reflect little attention to substantive differences in history, culture and economy between your state and another. In some cases, one experienced in these matters can almost predict the major recommendations by identifying the outside consultant who is to formulate the plan. These universal solutions may not be entirely workable in your state unless experienced in-state people later adapt them to local conditions.

On the other hand, use of in-state experts and volunteers also has its merits and limitations. On the positive side, these persons may be intimately acquainted with the history of education, its mores and institutions along with knowledge of the political system and power structure of the state. These factors, with all their subtleties, may in the end be determinative of whether a plan is appropriate and acceptable.

Beyond these advantages, the in-state planning process often brings into confrontation and dialog, hostile administrators and faculty members who would not otherwise confer with each other. For the first time faculty members involved hear the story of the other side and may realize that "truth" is not always an exclusive asset of their own institutions. The in-state or self-survey also provides a cathartic experience. People get a lot off their chests while learning to accept and understand opposing viewpoints. Intense involvement by leading educators and citizens provides commitment and thus a base for acceptance of the completed plan. In addition, the dozens of in-state experts who become involved may provide a broader base of judgment and reflection than that of a limited number of outside experts.

The principal disadvantage of in-state persons is their probable bias on the major controversial issues. These people, too, may have a pre-set solution prior to further research and study of the issue. Such biases may pre-commit the plan to one side of a long-standing issue without attempting to apply new perspectives or knowledge

Beyond a built-in bias, in-state persons may lack knowledge of alternatives successful in other states. It is amazing the amount of misconception and misinformation which well-educated professionals (also political leaders) hold in relation to educational systems and practices in other states. A further disadvantage of in-state persons is their sensitivity and susceptibility to persons and personal ities rather than commitment to more ideal long-range solutions. Not infrequently recommendations proposed save someone's face or preserve someone's empire. Naturally judicious sensitivity toward persons must be present in order to arrive at realistic decisions, but the effectiveness of some state planning has been destroyed by this tendency.

The third approach to organization for master planning and one which is becoming increasingly popular relies on a permanent board with a professional staff from within the state which, in turn, employs special consultants both from in and out-of-state, to aid on particular problems. With the major work carried on by committees of institutional and citizen experts, outside consultants are employed for short but particularly appropriate periods of time, most often on highly specialized phases of planning such as business or financial arrangements, physical facilities or equipment, auxiliary enterprises, and new technologies or systems. By this device the advantages of both in-state and out-of state experts may be gained and disadvantages ameliorated.

The particular procedure which is selected in your state must be chosen with care. In some states legislators and citizens groups appear not to have confidence in proposals in which outsiders are involved, other states have the opposite reputation of accepting only solutions which are not contaminated by participation of in-state educational leaders. While these parochial attitudes may seem archaic, one must remember that in the American political process a plan may not be accepted on its intrinsic merit alone. Thus the"right" procedure must precede a "right" plan.

Also, there are a few cautions which should be observed by states without prior planning experience:

(1) Too many plans are undertaken without realization of adequate planning funds and staff. As a result, extensive studies and background information to determine facts necessary for sound decisions may be lacking.

(2) Another pitfall is to select the wrong type of people to head the planning. Many intelligent persons, without planning experience, are unable to detect fallacious data, poor methodology, and phonies among the participants. In other words, technical knowledge and competence is necessary, as well as organizing and administrative ability.

(3) Too frequently unrealistic time limits are imposed upon the study at the start so that the staff studies, deliverations, airing of recommendations, and public hearings must be compressed into an incredibly short period.

Master Planning Features

The characteristics which distinguish a master plan from most state surveys are the variety of subjects studies; the volume of data collected; the depth of analyses; the integration of programs, budgets, and building priorities to provide a unity of purpose; the full inclusion of the nonpublic institutions; and the means for step-by-step implementation of the plan, with simultaneous review and revision leading to fulfillment of major goals.

The major features of higher education master plans are too numerous to list in great detail, but generally they will emphasize:

1. The development of colleges to serve commuter students, primarily two-year institutions, but also new four-year college and university campuses.

2. Consideration of junior colleges where they exist as an integral part of higher education, thus providing them new status and more state aid and supervision.

3. Means for providing programs for the disadvantaged and for improving the quality and number of technical and semi-technical programs.

4. The stimulation of graduate, professional, research, and specialized undergraduate programs, and the organizational means for controlling their proliferation in the several public institutions in order to achieve maximum use of resources at minimum costs.

5. The regulation of admission standards and tuition rates to funnel students into desired types of institutions and programs.

6. A system for developing project priorities in capital construction among institutions and campuses.

7. Increased utilization of physical plant by scheduling late afternoon and evening hours and year-round operations.

8. An improved system for reviewing operational budgets leading to a unified and orderly presentation to the legislature and governor for appropriation requests.

9. The need to increase the supply and competence of faculty members, make better use of those most competent, and increase their productivity and effectiveness through various new instructional media.

10. Greater cooperative effort among all institutions, public and nonpublic, and continued planning to up-date and revise the master plan.

Plans typically place increased reliance on two-year colleges to meet the surge of new enrollments, attempt to divert students normally projected for entry into state senior institutions into the two-year colleges, and provide extension of graduate and professional work only under controlled conditions. Many plans call for admission standards, minimum tuition fees, program control, greater state aid to junior colleges, and a coordinating agency as means for achieving the main planning goals.

The two phases of the Illinois Master Plan required twenty-one separate statistical and/or advisory studies to support it. This volume of back-up study is becoming typical of the new planning process. Plans now formulate and recommend major public policy decisions only after thorough fact-finding and review, involving scores of specialists and citizens. Most often an inventory is made of the programs and functions performed; the costs involved; the potential enrollments at various levels; the ability levels and other characteristics of students; the availability and quality of faculty and facilities for insturction and research; the attendance rates by college-going youth in various sections of the state; and other data on finances, organization, and operations of the states' institutions.

Although most master plans deal with these common features they vary greatly in the scope and depth of study achieved and in the amount of change recommended. Some rather critical questions must be answered either at the outset or prior to formulation of final recommendations:

1. How much change can be proposed in a statewide plan and be implemented successfully? Is it better to limit the plan to a few essentials or cover the waterfront? What are the practicable limits of achievable change?

2. How short or long-range should the plan be? Should it extent to a 5, 10, 15 year period? What are the safe limits for projections? What are the motivating elements of a short-term vs. long-range plan?

3. How much exposure should be given a drafted master plan before attempting final approval? To what extent should the plan be subjected to institutional negotiation, public hearings, and prior exposure to governmental officials, including legislators in order to weed out the impractical, faulty and unachievable proposals?

4. To what extent can a plan become a "package deal"? How do you prevent a sensitively balanced and finely adjusted plan from being dissected and mutilated in the political process of approval? Is it realistic to ask a legislature to accept all of a plan or none of it?

5. How much "reality" should be exposed in a plan? Should the bald financial facts, for example, which may frighten the governor and legislature be given or should they be minimized in order not to jeopardize the plan? How much honesty is required, even though self-defeating?

The answers to these perplexing questions will and must vary from state to state and will depend upon existing conditions in the educational system, political and economic realities and the skill of the professional planners.

Implementation of Planning

One can see from the number and complexity of factors emphasized in a master plan that its implementation becomes no easy matter. Many of the factors are closely interrelated. For example, plans which promote definite sizes, functions, and time stages for development of institutions will require the involvement of the several different state agencies which administer institutions, construct buildings, and finance operations. Depending on existing state machinery, implementation of a plan may require participation by a state building commission, a scholarship commission,

a higher education coordinating agency, the several boards governing the colleges and universities, and department of education plus the executive and legislative staffs which may review, pre-audit, and approve specific expenditures and activities. The completed master plan most likely will contain elements which require statutory action and appropriations. Because of the involvement of so many different agencies, each with its own traditions and objectives, the adoption and implementation of a comprehensive master plan is an extremely difficult and hazardous process.

It is at this point that many, if not most, plans fail. Plans are not self-enforcing or fulfilling any more than other activities of government. Concerted effort and coordination among the public agencies is essential in order to overcome the myriad of obstacles that confront the plan's objectives. Failure can normally be attributed to the lack of a single state agency or group fully respon sible for keeping the planning elements intermeshed and all moving toward final objectives. Moreover, most, if not all, plans properly set forth broad guidelines to which details and supporting regulations may be added. Some agency needs to be assigned that responsibility.

Beyond need for coordination among regular state agencies, the fact that the federal governenment no provides large sums of money for higher educational purposes raises other coordinative complications. Some federal grant programs are administered through state commissions especially established for these particular programs. Still other grants are made directly from Washington to the colleges and universities without review or control by any state agency. Real problems arise if federal grants are made to institutions for which the state master plan has established objectives different from, or contrary to, those which are supported by federal funds. For example, building construction money may be awarded to a college or junior college which is so small or so poorly located that plans call for it to be consolidated or dissolved. Or, money may be provided directly for graduate instruction and buildings in academic areas or at levels of instruction not assigned or planned for the particular institution. Also, these federal sources of funds are not always accounted for, or appropriated by, the state government. Under master planning some institutions may need these federal supplementary funds while others, which are eligible to apply, may not.

These and many other problems require, in implementing the state master plan, outright merger or very close coordination of those state agencies which administer federal grants to the colleges and universities.

The primary means devised by the states to overcome both state and federal administrative obstacles to the efficient implementation of a higher education master plan is the creation of a higher education coordinating board, or council. In addition to planning, such boards are assigned legal responsibility for approving the development of new educational and research programs and for making recommendations to the governor and legislature on the capital and operating budgets of the state colleges and universities.

Over 20 states have now established such coordinating boards to be the primary planning agency for the state in relation to all higher education. The agency exercises its program approval, budget review and other powers in order to implement the master plan. Thus the process of planning becomes a continuous activity rather than a series of separate and often unrelated episodes.

The importance of maintaining such planning continuity can hardly be overstated. The social and economic conditions which require certain recommendations at a particular time are in a constant state of flux and, unfortunately, do not wait five or ten years for the fulfillment of a plan. If planning goals are broadly stated, the coordinating agency is able to exercise discretion in filling in the administrative details through its own rule making and review powers. If social changes require different master plan concepts, the board may carry through with new or revised recommendations to the legislature and governor.

From state to state the newly established coordinating board or council varies widely in its composition and powers. Some have only advisory powers which may be sufficient to develop a master plan but too weak to implement it. Others have final authority on several important matters, particularly the more recently established boards composed either of a majority or a totality of citizen members not directly connected with any college or university. State legislators and governors are delegating increased powers to such boards for the expansion and welfare of the state higher education com plex.

Too, with an officially adopted master plan which appropriately provides for a rational development of the various types of institutions, the coordinating agency and the state government have a basis for evaluating current operation and capital budget requests and for estimating fuiture financial requirements. Since higher education relies heavily on the state's general fund, long-range financial estimates allow the state lead-time in planning for over-all state fiscal needs, bond issues, and changes in tax rates and structure. As the plan is reappraised continuously and subject to amendment to meet changing conditions it provides an impelling force for colleges and universities to achieve greater quality and to become more efficient and more effective.

Conclusion

Thus one can conclude that the necessity for educational master planning has become almost universally accepted. The general content and objectives to be achieved in such planning are also subject to little disagreement. The choices made in how to organize and conduct a plan may ultimately determine its practicality and acceptability. The solutions recommended in a plan may in fact, have been made by choice of machinery for study and recommendation. Finally, no matter how well conceived or developed, a master plan requires a patron board or council to seek coordination of the pertinent government agencies in order to achieve its long-range goals and objectives. It is failure in implementation rather than in formulation which spells disaster to most plans.

Lyman A. Glenny
April 17, 1967

EDUCATORS AND POLITICIANS:

RESPECTIVE ROLES IN DECISION-MKAING

BY

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During a tour of the Federal Republic of West Germany in the summer of 1962, the Senator for Education in Bavaria asked me a question which, on first glance, appears to be fairly simple. "How are educational decisions reached in the United States?"

But, when I tried to answer him I very quickly found myself countering with other questions such as -- "What level are you referring to? Do you mean policy decisions or operational decisions, decisions about structure and finance, decisions about curriculum, about facilities, about personnel policies?" Finally, I wound up with this gem -- "I really can't answer your question until you understand the evolution and the very intricate nature of education and educational processes in the United States." As I recall, he nodded and observed "It's something like that here, also." I'm sure the conversation ended with my stature considerably diminished, and him no more knowledgable and probably more confused than when he first asked the question.

And yet, this is a question that we should be constantly asking ourselves. Actually, educational decisions are not reached or made in the strict sense of the terms. They are processed and fabricated--evolved from a sort of intricate system of consensus, in which thousands of people, and many forces plan, various roles.

There is, however, a definable framework in which the process operates. Educational policy, generally, is the responsibility of the whole body politic, stated in constitutional provisions for an educational system or systems. The creation of such systems, and the control mechanism for the operation of the schools, are spelled out by the elected representatives of the people. Presumably, because of the fear of powerful federal control, the final responsibility for educational decisions has been placed at the state level. The federal constitution does not mention education as such and alludes to it only indirectly in the implied clause of the 10th Amendment. Hence, the states have become the king pins in the educational structure. The basic definitions are in the state constitutions. The original statutory provisions were enacted by state legislatures. Over the years occasionally these have been revised, changed, refined, fought over and not infrequently have resulted in considerable confusion and ambiguity. The whole process might have deteriorated into chaos, had not the legislatures chosen to delegate operational matters to lesser governmental units of the states, closer to, and much more responsive to local needs, desires and pressures.

Hence, the local district system has become the functioning dynamo of the educational enterprise in the United States. A district may be geographically contiguous with a township, a city, a county or a larger intermediate unit. Or a district may be relatively indigenous incorporating several towns, townships, or even counties within its boundaries. But one thing is common -- there is always a lay policy board with delegated powers from the state to operate the school or schools under its jurisdiction. The boards of education may be elected by a given constituency or appointed by another elected board, or by an official of some governmental unit.

For many years, varying in degree from state to state, boards of education had a great deal of autonomy and flexibility in the operation and control of the school or schools within their jurisdiction --this always, of course, within the framework of state constitutional and statutory provisions. Even yet today the schools in any given district in this nation are in considerable measure what boards of education make of them.

This system of local district organization under lay guidance, is to some people the genius of American education. To others it represents a subtle form of cultural obsolescense, if not the worst sort of provincialism, which has always thwarted sound educational progress and is now dangerously throttling it.

There is some truth in both positions, but both, obviously, are greatly over-simplified. Neither the states, nor local boards have ever exercised complete control, or even close to it, because they have always been subject to judicial review, public and private pressures, and an ever changing pattern of needs and emphases within the society. Any attempt to outline, much less delineate the forces, personalities, events and conditions that have shaped educational development in this country is much beyond the scope of the present paper. An example or two should suffice to indicate the nature of the complex. A powerful governor, Alfred E. Smith, in New York during the "twenties" pursuaded the state legislature to create a framework of state support and an equalization formula which became a model for many other states. It has not been completely established who or what influenced Smith in reaching his convictions, although professor Paul Mort, Teachers College, Columbia University, probably had something to do with it. Similarly, who triggered Senator Justin Morrill to convince Congress to enact the famour Morrill Act creating the Land-Grant Colleges which evolved into powerful state institutions and certainly impinged greatly on educational policy at the local level?

The ecology, so to speak, of the American educational enterprise is, to put it mildly, most complex. It depends upon who, what, when, where and under what circumstances that a direction is established, an idea gets rooted into practice, or a conceptualization is reached. But in the final analysis, the thing is clinched or abandoned officially in a statute, a constitutional provision, a directive or a flat rejection at state level. Hence, Moskowitz could say with some conviction -- "For as long as there has been public education in the United States, education (at base at least) has been the child of politics." In short, the ultimate decisions are political.

But where does this leave the profession? I mean by the profession, the teachers and administrators of the elementary and secondary schools, college teachers, research specialists, and administrators--I mean the learned societies, and the professional teacher and administrator organizations. This is about as complex a "dukes mixture" as could be imagined. Certainly there is no community of opinion here, nor any solidarity of concept. Obviously, the profession does not speak, nor ever has spoken with one voice. It resembles, rather a tower of Babel, held together only by the common factor of having something to do, in some fashion, with education at some level or other. And yet, this is the profession of educators, the only one that is available for our consideration.

Officially, the profession either singly or in groups or in concert has nothing to do with educational decision or policy making, except as some political body may delegate a bit of prerogative to it. The members are public servants. Their task is to implement, to serve as consultants, to offer advice --but--officially--they are not called upon to consent.

Unofficially, it is quite a different matter. There is no way to know, and probably no way to find out how much individual teachers--teacher groups--scholars or scholarly consortia have influenced the direction of education in the United States. A combine of colleges for teacher education and school administrators is supposed to have exercised an unwarranted, and perhaps an unhealthy level of control in elementary and secondary education. If true, this can only reflect that these groups had an easier access to the ear of boards of education, and in turn a clearer channel of communication into the deliberations, education wise, of the legislative chambers. Both the ear and the channels were, and still are available to other groups also, and if the so called combine ever did sit too close to the seat of power, that time is about to come to an end.

It is much too early to predict the ratio of elements that may make up the formula for a new mix in the educational power structure, but some of the ingredients are at least visible. Certainly the federal government, which never has been very far from the control panel, is rapidly moving away from its ostensible role of fact finder, adviser, arbiter and expediter--to an active, participating, partnership, which is commanding and getting a fairl, healthy slice of the control mechanism itself. It makes no difference that there are protestations to the contrary. Be assured that Congress had something in mind when it passed the Elementary and Secondary Education Act. Be equally assured that the Office of Education leadership is not without a philosophical base, and is in touch with certain powerful elements in the society. This is not to say that the Congressional will and the Office intent are one and the same. Neither is it implied that anything sinister is afoot. At the moment our only concern is to establish that there is a force, an increasingly powerful current that may be rearranging some molecular relationships within the anatomy of American education.

In a somewhat different way, but no less significant, is the contribution of the great philanthropic agencies. The Ford Foundation's preoccupation with educational facilities and the place of the media in the education processes is a case in point--along with a somewhat less successful series of ecperiments in teacher education. The Carnegie Corporation's support of Dr. Conant's studies and subsequent reports on secondary education and teacher education and his later analysis of educational policy making is another. The impact of these projects, along with a number of others, has not been completely assessed, but if the intent was to create some ferment where ferment was needed, or to rock the complacency of an entrenched establishment--then there seems to be no question about the success of the enterprises. A fair question may now be asked, however --What now? Where does the potent Foundation influence impinge next? Because these agencies, too, are not without a philosophical base, and they are also in touch with powerful elements in the society, and perhaps exert an influence that is felt in the halls of Congress, in state legislatures, and certainly on many campuses.

By far the most intriguing of the newer developments is the growing interest of business and industry in educational planning. New industrial combines are in the making specifically to capture the multi-billion dollar market for the hardware,

the software or any other kind of ware that the educational enterprise needs or can use. The General Learning Corporation, as an example, is a combine of General Electric, Time Incorporated and Silver Burdette. Xerox, University Micro Films and American Education Publications are merged to form Basic Systems. These are only two of a dozen or so now in existence and a number of others are in prospect.

There is a combination, in each instance, of electronics, publishing of one sort or another and systems management. The general approach appears to be a thrust for educational systems at all levels. There is precedent, and some experience, in the Job Corps operations, in military educational programs and in a gigantic and growing educational market, the array of educational jobs undone or poorly done --and one could almost persuade himself that operational decisions are in truth shifting from the superintendent's office and the college presidential suite to the paneled walls of Madison Avenue. Obviously, no one is thinking of a direct take over of education by business executives--nor would they want to do so, assuming that they could. But, they do want to be heard, and they are injecting a new dimension into the teaching and learning environment. Call it media, call it the invasion of electronic hardware with attendanc software, call it what you will, but it comes out a systems approach, in which the end product is carefully defined, and sequential stations, or steps are designed to reach it.

There are, of course, many other factors that could be cited which are a part of the complex for educational policy making or at least impinge on it at significant points: the changing characteristics of the population, the demography of the nation, shifting value patterns, and certainly the national involvement in international power struggles, which requires education to become a major instrument of national policy.

What we are beginning to see, probably, is a merger of the private and public sectors of American society in certain, and maybe most, of the aspects of the whole educational structure. Put in a somewhat different way, the political, the industrial and the educational components are beginning to move in parallel and closely related channels, if not converging into a single flow at the higher levels of educational planning. To anyone who likes to pigeonhole his thinking about politics, industry and education, and assign indigenous roles to each, this is a startling and even frightening development. It may be that, indeed, we are not seeing a merger as outlined above but interface in a subtle form, which places relatively incompatible elements on a plane where they are less incompatible or more compatible whichever is indicated.

The temptation to explore this phenomenon further is almost irresistible, but it is not required at this point. The purpose here is not to be definitive, but rather to see if any kind of pattern is descernible. While it is a little difficult to nail down, there is nevertheless a central theme in this whole business that has to be felt rather than seen. Somehow we seem to be saying to ourselves that a modern program of education must produce a degree of excellence that will equip its output at all levels to live in an environment of complexity and change, the dimensions of which are unseen at any given moment. The resulting frustrations for both learners and teachers will be acute, to say nothing of the problems and frustrations involved in policy making and educational planning.

This is perhaps the inspiration for the statement that education is much too important to be left in the hands of educators. Such wisdom has a hollow ring, however, because in the United States educators never have had the field to themselves, nor anything closely approaching it. Nor does it help for the profession to counter that if education is too important for educators to control, it is much, much too

important to be left at the mercy of the political arena.

This brings us to the nub of the matter which is supposed to be the subject of this paper--the relative roles of educators and politicians in decision making.

While for the purposes of discussion we can place educators and politicians at opposite ends of the responsibility continuum where educators implement policy decisions adopted by the politicians, obviously the system is not as tidy and tight as this model would appear to be. In between, and boring into the system at many points, are the forces and agencies described in the foregoing paragraphs. So, in reality the issue concerns the roles of these two groups in relation to the total complex. In other words, is it possible to meld all of the concerned parties into a defensible system of policy making and operational decisions that will achieve the ambitious, if uncertain goals, that the nation seems to be setting for itself? Perhaps the first function of such a system would be to attempt a national consensus as to what the goals should be and give them a sharply defined visibility and focus.

There are a number of ways to achieve a different, and perhaps a better mix of responsibility. Only five are suggested here as examples of changes that could be made. They are not evaluated as to either desirability or feasibility, but may perhaps serve as departure points from the traditional way of thinking about the relationship of educators and politicians in decision making.

1. Maintain the same general state level structure that exists now, but place much more responsibility in State Boards of Education. Change the composition of the Boards to include educators in sufficient numbers to fairly represent the professional educational community.

This plan would be based on the assumption that the present system of state level operation is satisfactory in the main, but needs to be broadened first to recognize the equity of educators in the process, and second, to sanction officially the contribution they might make. It is attractive to the extent that the machinery already is in existence in most of the states and that the changes could be made with a minimum of disruption. It may not, however, take into consideration the full sweep of educational ferment in the country, nor provide machinery broad enough to cover the full scope of educational needs.

2. Create a federal ministry of education at the Departmental level with sufficient authority to make its decisions impinge at all levels of the educational enterprise. Thisstructure might be either a mix of educators and other elements in the society or purely professional. But, its function should be to seek a national consensus on educational policy and transmit this to the executive and legislative branches of the federal government and to the various operational levels of the educational system.

Plan two assumes that state supremacy in policy decisions will no longer suffice, because educational problems and the needed commitments are so broad that they can be dealt with successfully only at the federal level. It assumes also that considerable authority must accompany the responsibility. There is no assumption as to how

much the states would be subordinated to federal dictates, although certainly the relationship that now exists would be sharply re-structured. The possibilities for achieving a broad representation of educators, laymen, business and industrial leaders in the structure are pursuasive, but various; deliberate weightings in favor of the professional educators must be considered here, because this structure would be subordinate, by definition, to the Chief Executive and to the Congress, and the educators could get lost in the shuffle unless their role were specifically protected.

3. Frankly recognize that education has become so vital to the national welfare that new and innovative social and political machinery must be created to deal with it. One such structure might be developed as virtually a fourth branch of government at both state and national levels. This should be built into the existing system of checks and balances, but charged with the responsibility for policy, for providing resources, and the general supervision of the system. Educators should carry equal weight with politicians and lay representatives in the structure.

Plan three puts education in a separate category, and calls for new machinery and new structure. We have not attempted to spell this out in great detail, because any such drastic departure from the present system would require constitutional revisions, both nationally and in the states. A number of possibilities might be considered. For example, Congress could be required by constitutional provision to hold special sessions at stipulated intervals specifically to consider the educational needs of the country, and enact legislation accordingly. At these sessions elected representatives from the profession should sit with the Congress as ex-officio members. but with the privilege of entering into the debates, and making known the convictions and desires of the profession. Special sessions of the state legislatures could be arranged in similar fashion, again with ex-officio but participating members of the profession present.

4. Another variation of the idea in "3" above might be a national institute for educational policy, with commissions at the regional, state and local levels, to feed into the national body the thinking, ideas and needs of all branches of the society. While a number of mixes could be considered to man and operate such a system, one possibility would be to make it the exclusive domain of the educational fraternity including many different groups from elementary teachers to the learned societies.

This arrangement poses some interesting possibilities. Assume for a moment that the American people would accept such an institute and would take the steps necessary to create it. Assume also that it would become a forum where educators could hammer out a consensus on educational policy and confront the political agencies with a carefully considered agenda of national, state and local needs, along with suggested legislation to meet the needs. All of this, obviously would take some doing, because it would assume, in turn, that the educators could reach agreement--something that they have never done to date. But, at least, a vehicle would be available for them to attempt it in a considered orderly fashion.

5. Finally, a compact of states, or a system of compacts could be developed, quasi-legal, through inter-state and/or federal agreements, for the purpose of studying and analyzing the nation's educational needs, and making recommendations to the appropriate legal agencies. Here again, a number of combinations are possible.

We are seeing, of course, the embryo developments of a Commission of the states at this meeting. It is probably neither wise nor expedient to second guess at this point what directions may be considered or taken. But, there are some very pursuasive possibilities in prospect. The Commission, in its early stages, appears to be more political than educational in its composition, but this may be only a temporary arrangement. If it can provide a forum for the confrontation of educators and politicians in open and frank discussion of the massive educational issues and problems of this nation, much will be accomplished. Moreover, if the business community and other interested agencies can be included in the dialogue, then much greater progress is in prospect.

In summary, we have tried to sort out a few of the forces and elements that are in contention for a hearing, if not to control the disposition of the great educational issues and problems that are facing the country. A few suggestions have been made which may or may not be useful in reaching a decision on what needs to be done. Certainly the plans sketched out in this paper are not intended as in any way refined mechanisms to produce change or innovative developments. They are, rather dialogue pieces that may serve as a beginning point for the discussions of ways and means to proceed.

At the moment, the role of the professional educator, in major policy considerations and decision making, is officially one of relative submission. If it is desirable to move him to a more creative and active role, then, some major changes will have to be made in the structure of the nation's educational machinery.

CHANGE AND DEVELOPMENT

IN STATE DEPARTMENTS OF EDUCATION

by

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Greeting and my very good wishes to INTERSTATE COMPACT! I wish you Godspeed on your mission.

Not far from the new Government Center in downtown Boston, a foreign visitor walked up to a sailor and asked why American ships were built to last only a short time. According to the tourist, "The sailor answered without hesitation that the art of navigation is making such rapid progress that the finest ship would become obsolete if it lasted beyond a few years. In these words which fell accidentally from an uneducated man, I began to recognize the general and systematic idea upon which your great people direct all their concerns."

The foreign visitor was that shrewd observer of American manners, morals and politics--Alexis de Tocqueville, and the year was 1835. He had caught the force that was motivating young America--the force that still drives the nation, now more mature, toward its ultimate destiny: its preoccupation, its obsession, with growth and development--and its alertness to the need for adaptability to change, by which growth and development are fully realized.

This paper is in response to an invitation to come to grips with a fundamental problem: How can the states strengthen and adjust the structures of their state departments of education to meet the needs of their schools and colleges? Treatment here is limited to the state department of education, its relationships with and its responsibilities, direct and indirect, to the governing board and to what are commonly referred to as the public schools; i.e., the system of public education, grades kindergarten through twelve. This is not to depreciate the importance or the magnitude of the problem as it affects the colleges. On the contrary, that problem is magnified by the fact that it has been left to experts in the college field to discuss.

It is here proposed to suggest changes and adjustments in the structure and organization of state departments of education calculated to encourage, stimulate, and provide opportunities for bold, intelligent leadership and educational statesmanship.

The gentleman who asked me to prepare this paper stressed, on three occasions, that it should be "practical." I submit that I have followed his advice according to my definition of "practical," which is, "capable of being put to use or account." In terms of implementation, I consider "practical" to mean that a change suggested is based on sound principle, holds promise for strengthening state departments of education, and gives hope of coming to fruition within a generation. Therefore, we have chosen to strike at what we believe might be done to strengthen state departments of education--boldly to pioneer and to offer, in some instances, one or more alternatives for achieving the end sought.

Change is the key to dynamism, without which there can be no development. State departments of education have too long overlooked this fact, being content to perpetuate the old and tried and to look with suspicion upon the new and untried. It is the purpose of this paper to suggest changes and adjustments within these departments which will lead to dynamic development.

But change will not come easily. It will be difficult to effect

meaningful, promising changes in state departments of education. It will take time and patience and perseverance. It will test the courage and resourcefulness of educational leaders, state officials, and especially of governors. The struggle may be long and hard fought, but the ends sought are worthwhile and victory will mean not only stronger state departments of education, but also improved educational programs and better schools.

To come to grips with the problem at hand, I ask the question: Why change the structure and organization of state departments of education? The answer is simple and unmistakable. Like de Tocqueville's ships, many state departments of education, in their structure and organization, have become obsolete in light of the rapid progress being made in the art of management. They are not structured, organized, nor provided with appropriate manpower to do the job. What is the job? It is to provide enlightened, forward-looking leadership and educational statesmanship; to extend services to the schools and the state; and to administer, at the state level, the state's system of public education.

The aims of education and its leaders, lay and professional, are: (1) to improve the character and quality of education in all schools for all who attend; (2) to liberate the people of the state from ignorance, superstition, and prejudice; and (3) to prepare them for the privileges, the opportunities, the obligations, and the responsibilities of American citizenship. The schools belong to the people, and education should serve them wisely and well.

Many factors affect education in our time. Uncertainties about war and peace, what the future holds; human anxieties caused by tensions and the unknown, by changing patterns of home life and of social mores; the civil rights struggle; rapid transportation; mass communication media; changing patterns of corporate structure; the changing role of government; automation; the growth and strength of organized labor; advances in technology and progress in science; the effects of a fluctuating value system on personal, social, institutional, religious, and monetary beliefs and concepts; world unrest--all of these, and more, constitute factors affecting the schools to an ever-expanding degree. Since the individual finds himself caught up in a baffling maze of changes about him, the entire field of education is challenged to make adjustments so that the needs of those who attend the schools may be fully met.

The Role of the State Department

In the face of this challenge, it is crystal clear that, unless the state exercises its inherent, rightful, and expected role in education, the federal government, under the General Welfare clause of the Constitution, will endeavor to carry out the task even though its attempts may be fragmented, unsystematized, confused and confusing. State departments are becoming aware of this and, perhaps not altogether altruistically, are using moneys allocated under Title V of the Elementary and Secondary Education Act to evaluate current programs. But such evaluation should be a continuous process--not an expedient procedure quickly developed to assure eligibility for federal funds as these are made available.

Each state proclaims the education of its citizens to be a state function. One of INTERSTATE COMPACT's major purposes is to provide ways by which the state may play a leading role and have a commanding position at the discussion table when educational policies are formulated at the federal level. A far more fundamental purpose of COMPACT is to encourage and motivate states to take greater initiative in analyzing their own educational needs and the structure and organization of their departments of education; to evaluate the department's programs, strengths, and weaknesses; to determine what is needed in the way of money and manpower to have and maintain forward-looking, effective, strong departments of education. These are necessary objectives to be attained if an untrammeled system of free public education is to be maintained in the individual states. At its inception, COMPACT was presumably endorsed by the governments of all fifty states; regrettably, each state is not a member. But those which are participating have the opportunity to set the course by which, eventually, all may steer their educational ships of state.

At this point, each state department of education must face up to and answer this question: Now, and in the forseeable future, what whould be the functions of a state department of education?

The functions of the department are threefold: 1) leadership, 2) service, 3) administration. Let it be definitely understood, however, that research plays a highly significant role. In fact, intelligent leadership, service, and administration are largely dependent on research for their effective operation. Let us examine the components of the three functions.

Leadership

The primary role of a state department of education is leadership. What is done in education at the state level must quicken and strengthen the initiative and self-reliance of local and intermediate units lest they lose interest and self-respect, and in one way or another negate state leadership, programs, and activities, however worthy and promising these may be.

In exercising its leadership role, therefore, the forward-looking, dynamic state department of education will:

(1) Accurately sense immediate and emerging patterns of need for and in education.

(2) Effectively collaborate with interested lay and professional groups in planning for ways in which to meet these needs.

(3) Assign priorities and differentially allocate resources in the development of an overall plan by which problems of real concern may be solved.

(4) Resist pressures from merely vocal or politically influential groups which seek special concessions in the name of educational development, always keeping in mind the welfare of all the people who patronize or attend the public schools.

(5) Encourage local school systems to experiment in going beyond established minimum standards and mandated programs.

(6) Effectively implement plans and programs of educational development, whether or not these have total support.

(7) Assure local school districts an opportunity to choose valid alternative courses of action.

(8) Objectively and accurately evaluate the outcomes of implemented plans and programs, as well as methods of implementation, as a basis for planning future priorities and allocations and for developing or selecting among alternatives methods of implementation.

Service

Closely associated with leadership--in fact, an integral part of it--is service to school districts, intermediate units, and other departments of state government. Service, in this sense, means providing constructive help in developing programs, in carrying forward innovations and experiments, in providing information, and in active cooperation with local district personnel who are seeking to solve their problems and improve their performance. In short, service means the ability to provide the right answers at the right time as the need arises.

Basic to the organizational concept of the department of education is the firm conviction that each professional employee is a dynamic leader in the field of his special competency and expertise. The consultant or supervisor is no less a leader than the section, bureau, or division chief, nor is the quality of his leadership less important. The kind of leadership exerted in playing the service role is dependent not upon a leadership hierarchy, but upon the service to be rendered. The implication here is for high-level consultation, not for the imposition of individual concepts or "pet theories."

Administration

The term administration means the management and operation of either the state department of education or of local school districts. Since local districts are created by the state and derive their authority, powers, and responsibilities from the state, the state department has the function and responsibility of seeing to it that local districts adhere to the laws of the state and the rules and regulations of the state board of education. This function requires sufficient inspection and supervision to guarantee that the regulations concerning education are observed in all districts, and that funds are disbursed according to law. In exercising this function, the state department, if wise, will act as an adviser and consultant, and in a highly professional manner. At no time will the state department attempt to usurp the authority, powers, and responsibilities delegated by the state to the local district. In this way it will guarantee both to itself and to the local district a working relationship that can only result in a high degree of cooperation and mutual understanding.

Steps to Effect Change and Development

Assessing the State Department

Since the education of its citizens is the most important function

of state government, the state department of education should be the most prestigious and best-supported department of state government: the first among equals. But it is not enough merely to recognize what, ideally, should be the department's position in relation to other departments of state government. Steps must be taken to assure that the ideal is achieved. The first step a state might take in this direction could well be to make a realistic assessment of the purposes of its department of education in terms of present and emerging social, economic, and educational needs as well as the aspirations of its citizens.

There are alternative ways of securing such an assessment. Among these are: 1) have the study made by a group of distinguished, civic-minded lay citizens; 2) have it made by a combined group of lay citizens and professional educators; 3) have it made by a national business management survey firm; 4) have it made by a university or some other institution well known for excellent work in this field.

The next step, then, is self-evident: effect changes and adjustments in the structure and organization of the department in line with its assessed purposes, the needs of the schools, and the aspirations of the people.

Improving the Department's Public Image

Another step toward bringing about changes and adjustments in the state department of education is to create throughout the state a climate favorable to its plans, programs, and services. Public opinion can be marshaled and directed only if it is based in confidence. At the present time, there is grave doubt that many state departments have the confidence of the people. True, this situation stems from a number of extrinsic factors over which they ha-e little control. They have meager financial support; they are rigidly controlled, in at least half of the states, by the department of finance, the state civil service commission, the state personnel board, and the department of general services. They are bogged down in housekeeping chores, trouble shooting, and minutiae. But there are intrinsic factors as well that contribute to the poor public image which characterizes many state departments of education. All too often school districts and the lay public do not regard them as sources of power and help in solving local educational problems. All too often, they are thought of as dictatorial task masters, as gatherers of information regarded by the schools and the public as unnecessary. Inspiring leadership and statesmanship in state departments of education frequently is sadly missing. This must be changed.

I submit that the image of the state department of education will improve only when the department renders real help to the schools as they struggle to solve their problems--when it identifies the educational needs of the state, develops, and aggressively promotes promising plans and programs to meet those needs. But if it is to accomplish the desired ends, the negative factors, both extrinsic and intrinsic, which now limit its effectiveness must be eliminated. This requires team effort--from the governor, the state board of education, the legislature, the department itself, on down to representatives of every segment of life within the state. And I further submit that the changes and adjustments recommended

in this paper, when implemented, will go far toward improving the public image of the state department of education.

Alternatives to control by state civil service commission, state personnel board and department of finance, where they exist, are: (a) the establishment of a merit system in the department of education under policies and regulations of the State Board. This merit system should be designed to meet all needs of personnel in the department for its professional, technical, and clerical employees; or (b) the state department be authorized to hold open, non-promotional examinations for positions for which talent is as available outside state service as within the state's employ; the department be authorized to make temporary appointments from the most qualified available personnel -- from outside as well as within state service -- to positions in management levels, pending examination; in instances where unique experience and special skills required and known to be in short supply the department be authorized to make permanent appointments from outside state service; the examination process for entry level college graduates be broadened and simplified; emphasize recruiting college graduates with superior intellectual capacities and/or graduate training: intensify efforts to inform college graduates of opportunities in state department service; or (c) personnel administration in the department be made the responsibility of the superintendent of public instruction, the chief state school officer; and (d) make the department of education fiscally autonomous, once its budget has been established by the legislature.

Changes in Internal Structure and Organization

It is recognized that 1) there are fifty problems here, so that it is difficult to generalize; 2) some changes called for in this paper may be made in one or more state departments; and 3) all changes suggested are not uniformly or realistically applicable to all fifty state departments. However, it is firmly believed that if and when these changes and adjustments are made, state departments will be strengthened materially.

State Board of Education

The first and most pressing change should be in the quality and character of the state board of education. This will come about in states whose governors give top priority to education and believe that state boards should be composed of the best qualified and most distinguished citizens of the state. Given such membership, the board will exercise its power and authority wisely to make all policies, rules, and regulations needed to organize, administer, and evaluate the public school system of the state--this, of course, within the legal limits established by the legislature.

Legislative enactments affecting education are generally of two kinds: 1) mandatory--an order to be followed with definition of responsibility, and 2) permissive--general types of opportunity to be used as guidelines with details left to the state board of education. In most states, the legislature delegates to the state board the necessary power, authority, and flexibility at the state level to do its job. The latitude of action thus granted and implied strongly emphasizes the need for a "blue-ribbon" board--one composed of men and women who are non-partisan, above politics, and dedicated to the public welfare.

How shall a prestigious state board of education be secured? Not, certainly, as it currently is in some, if not all, states; namely by political appointment. Four alternative means suggest themselves: (a) appointment by the House of Representatives or, in some states, the Assembly; (b) appointment by the House of Representatives, with confirmation by the State Senate; (c) appointment by the judiciary; or (d) election by the people from regions within the state.

Under prevailing conditions, one method may be preferable in a given state and not in another. But whatever the method by which board members are secured, this fact remains clear: improvements in state departments of education will be made slowly, spasmodically, and haphazardly--if at all--unless the state board of education is a prestigious board commanding the respect, confidence, and support of the people. Such a board equally commands the respect, confidence and support of the state department of education which it holds responsible for executing its established policies, and to which it permits freedom of choice among alternatives as well as responsibility of judgment in carrying out policy.

Lay Committee

The state board of education should appoint a continuing, broadly based lay committee to keep the board and the department cognizant of the needs, problems, and progress of the schools of the state, their shortcomings and their achievements. Such a committee would differ markedly from the usual state committee on education. Its function would be to recommend the insittution of new educational programs and the elimination of programs that have become outmoded or ineffectual. Acting as the eyes and ears of the the board and the department, it should sense and report on long-terms and emerging educational needs; suggest needed changes in educational programs, school district organization, and services rendered by the state department; be empowered to secure consultative advice, make surveys, and carry out other "bird-dog" activities necessary to the efficient operation of the state's system of public education. The committee should maintain close liaison with the state department and be represented at all meetings of the state board of education. In short, its proposals and recommendations should provide grist for the mills of the board and the department.

Self-evaluation

The primary functions of a state department of education have already been defined. How well it performs its functions is a matter for the department and the state board to decide. This can be done internally through the establishment of an evaluation apparatus (unit or committee) having the duty, in at least four areas, to recommend and help with: (a) the elimination of substandard or outmoded programs, outdated functions of the department and its bureaus, and substandard services to schools: (b) the development of new, forward-looking, and meahingful programs and services: (c) eliminating intradepartmental duplication of effort in getting and disseminating information; (d) initiating modern and improved methods and equipment to carry on the necessary department processes and procedures.

Evaluation of its program, services, processes, procedures, and housekeeping is essential if a department is to avoid mediocrity, or worse, and if it is to improve its performance.

There are several ways to get internal departmental evaluations and recommendations based thereon. Some are: (a) establish a departmental self-evaluation apparatus as suggested above; (b) engage as consultants experts in organization and business management from colleges and universities; (c) employ the services of a management consultant firm; (d) invite periodic evaluation by a lay citizens' committee composed of experts in management and production.

Improvement and Utilization of Personnel

To discharge its duties and responsibilities effectively, the state department of education must have highly qualified personnel. Expecially is this true of the department's top leadership and innovators. On them depends the finding and cultivationg of fertile fields for educational statesmanship and the department's consequent growth and prestige. Indeed, the measure of a state department of education lies in its personnel.

All of this implies the need for employees specially trained for service in the state department and, in turn, suggests the establishment, either within the department itself or in colleges and universities, of preservice and inservice training programs for department career personnel. Several alternate ways of implementing such a program are suggested.

(1) Establish within the department an inservice training program manned by highly qualified and carefully selected members of the department, assisted by experts from colleges, universities, business, industry, and other state departments of education.

(2) Have the program developed and conducted within the department by a team of college and university professors.

(3) Give employees and prospective employees grants-in-aid so that they may serve internships in the U.S. Office of Education, other state departments, or selected governmental agencies.

(4) Exchange personnel with other state departments of education and/or the U.S. Office of Education.

(5) Persuade a few universities, regionally located, to establish training and research programs for the preparation of department personnel.

(6) Provide sabbatical leaves for employees to pursue graduate or postdoctoral study.

Department career personnel should have varied talents and backgrounds, and be adequate both in number and professional competency. Adequate in number does not mean a proliferation of employees and the consequent accumulation of departmental dead wood. Indeed, the efficient state department staffs itself with as few people as possible. These are either top-quality technicians who maintain the state department processes and procedures, or professional educators who stand high among their peers and who are charged with the tasks of overcoming substandard educational programs, initiating, organizing, coordinating and supervising new and promising programs to meet educational needs, both current and emerging. In essence, the efficient state department is a "lean" structure that relies heavily upon ad hoc committees for specific solutions to specific

problems as they arise.

Federally funded Projects

Adjustments should be made in the state department of education to provide for adequate staffing and facilities for securing and administering categorical aid for federally funded projects for the department and for the public schools of the state. When it comes to education, state governments and the federal government play in different leagues. The state governments' concern is with standardization, equalization of educational opportunities and benefits, and the taxes needed to support them; the federal government's, with manpower, national productivity, technological innovation, and scientific advance. In any cooperative endeavor between the two, the federal government is, as former Commissioner Keppel has called it, "only the junior partner"--but a powerful partner nonetheless. One phrase, "the national welfare," is the key to the federal government's interest in education. Educational costs outrun the ability of state and local governments to pay for them. Because of this , and its concern for "the national welfare," the federal government has recently made billions of dollars available to schools, colleges, and state departments of education. This money has always been for a specific purpose--some purpose ties in with the national welfare--for the federal government's primary role in public education is to provide funds for specific and "crash" programs to meet certain emergencies. Another role is to stimulate and support educational efforts in the several states, to coordinate programs at the federal level, to offer advice, and to see that the money is spent in the states for the purposes for which it was appropriated.

Currently, it would appear that the federal government, in the near future, is going to make more money available for education than it has in the recent past. This is attested to by the President's broad-ranging health and education message of February 28 in which he proposed amendments to federal programs in elementary, secondary, and higher education.

The implied mandate to state and local education agencies was unmistakable. These have a job of education to do. They are responsible for the never-faltering business of seeeing that balance is maintained, and that the schools fulfill the aspirations of the people and meet the educational needs of the state. But the overall efficiency of administration and the effectiveness of the federally-funded projects are the responsibility of the state.

In fulfilling their obligations, not only to the federal government but to their constituents as well, the states need to make sure that their departments of education are fully able to discharge all of their duties and responsibilities. Only strong departments can do this. Therefore, the establishment of the following three bureaus is suggested as a means of strengthening state departments so that they may perform their functions to the highest degree possible.

Program Design and Development Bureau

The first suggested addition, a Program Design and Development Bureau,

would have three essential dimensions in its operation.

The first dimension is to serve as a designing unit for the state board of education and the department in the development of educational programs and the selection of personnel for major curriculum activities in response to requests from all over the state. The second is to perform as a service unit to other bureaus within the department. In this role the Program Design and Development Bureau would provide technical planning that would assist other units to develop and perfect programs, and provide an administrative structure which would permit departmental units to pursue their programs unencumbered by routine and time-consuming managerial responsibilities. The third dimension is to provide assistance in program design and development to offices of county superintendents of schools and large school districts on projects of less than statewide significance.

This proposal is believed to have great potential for strengthening state departments of education and for improving their image. On the next two pages are flow charts which depict how this proposed bureau might be administered.

Educational Reference and Dissemination Bureau

Direct consultation to counties and districts should be minimized. The state, and most certainly the state department of education, should encourage local school districts to be competent custodians of their own households. This would require that the districts be large enough and strong enough financially to maintain and support a system of schools capable of meeting the educational needs of the community. The state's role should be to advise with local schools, to offer leadership and those services which the schools cannot provide for themselves, and to cooperate with them in solving their educational problems--emerging and long term.

One need of the schools which few districts are able to meet is ready reference to information required for effective administration, supervision, teaching, and learning. It is therefore proposed that state departments of education strengthen their structure by the creation of an Educational Reference and Dissemination Bureau, whose chief functions would be:

(1) to compile and disseminate up-to-date subject matter and methodological references including research reports, curriculum guides, books, periodicals, microfilms, abstracts, and lists of resource persons and organizations.

(2) To disseminate the production of the Program Design and Development Bureau to department staff, county offices, and local districts.

(3) To maintain up-to-date reference files on federal and individual state education programs, and on legislation pertaining thereto.

(4) To compile information about consultants who are available to counties and districts for inservice training or assistance with developmental projects.

(5) To extend leadership to offices of county superintendents and to local districts in the use of educational references.

FLOW CHART (1)

Administration of Innovative Activities of School Districts and Offices of County Superintendents of Schools Funded from Sources Within the State Department of Education.

WHO	WHAT
Local units — School Districts and offices of county superintendents of schools	Submit project proposals to units within the Division of Instruction.
Review panels	Identify proposals of innovative nature or which require funding from more than one source
Administrators of project programs	Refer selected project to Program Design and Development Bureau
Program Design and Development Bureau staff and per diem consultants	Consult with local units to refine proposal
Local Units	Resubmit for running by one or more administrative agencies
Administration of project programs by proper bureau	Issue approval letters and contracts
Program Design and Development Bureau	Visits project and observes performance of project
Local Units	Submit report of completed activity to program Design and Development Bureau
Program Design and Development Bureau	Refers report to Division Advisory Coordination Committee for recommendation as to further steps

FLOW CHART (2)

Administration of Innovation Activities of School Districts and Offices of County Superintendents of Schools Funded from Sources Other than the State Department of Education

WHO	WHAT
Local units — School districts offices of county superintendents of schools	Submit Proposals to the Program Design and Development bureau
Program Design and Development Bureau	Consults with school districts or offices of county superintendents of school to refine proposals
Program Design and Development Bureau	Refers abstract of proposal to appropriate units in the Division of Instruction.
Program Design and Development Bureau	Communicates recommendations of Division Advisory Committee
School districts and offices of county superintendent of schools	Develop proposal in complete form and submit to program Design and Development Bureau
Program Design and Development Bureau	Refers to review panel or field readers
Review Panel or field readers	Submit judgment and recommendations to program Design and Development Bureau regarding worth of project
Program Design and Development Bureau	Submits proposal and its recommendations to the Chief of Division of Instruction
Chief, Division of Instruction	Forwards to the Superintendent of Public Instruction for Departmental endorsement and submission to appropriate funding agency
Superintendent of Public Instruction	Endorses proposal and arranges for its submission to appropriate Funding agency
Fiscal Office, Program Design and Development Bureau, and local unit	Develop contracts, documents
State Board of Education	Approves contracts
Local Units	Conduct work described in proposal
Bureaus of Program Design and Development, Educational Reference and Dissemination, or Program Evaluation	Monitor work of unit performing contract
Local Units	Submit completed work reports to funding agency and Program Design and development Bureau
Program Design and Development Bureau	Refers copies of report to Chief, Division of Instruction, who transmits copies to appropriate bureau within the Division with recommendations for further action

(6) To establish contact throughout the country with groups that are working on new developments in education, to digest the information thereon for dissemination to county offices and local districts.

(7) To extend leadership to regional curriculum materials depositories.

Evaluation and Planning Bureau

Having established the machinery for identifying immediate and emerging educational needs, the strong state department of education must be in a position to extend leadership in meeting those needs. But leadership, to be effective, requires willing followership, and must therefore be exercised only after sound solutions have been decided upon. This requires planning--long range planning, which the current structure of most state departments of education is too limited to provide. Sound planning cannot be accomplished in intermittent committee meetings, hastily called to consider solutions to immediate problems. It must be engaged in on a continuous basis so that, as problems arise, solutions to them may be more than merely expedient stopgaps. Problems and needs should not be recurring. Once they have become evident, planning to eliminate them should produce permanent results.

Since problems and needs arise primarily from current programs and practices, it is important that these be subjected to periodic evaluation so that effective planning can be concurrent. It is by no means proposed that state department personnel assume responsibility for making such evaluation. It is proposed that the evaluation process be conducted at the local level, if the district is large, and at the county level if districts are small. Results of evaluation should then be reported at regular intervals to the state department so that it may have a clear picture at all times of educational strengths and weaknesses in every district in the state.

It is therefore proposed that an Evaluation and Planning Bureau, staffed by experts, be established within all state departments of education to assure a coordinated state program of education, and to provide an overall departmental viewpoint concerning educational needs and problems throughout the state. Such a viewpoint is particularly important as it applies to problems involved in urban education. State departments, in the main, are still geared to servicing rural areas and the schools of the past. As a result, large city school districts have been going ahead on their own without state-level leadership. This creates much duplication of effort and results in independent action sometimes inimical to the practices and philosophy advocated by the state department of education. "Going it alone" may be courageous in some instances; but it often runs counter to students' best interests when it takes a district too far afield.

In how many of our states have we have an overall program for the future--a plan for excellence that expands as we move into it? I am talking about the kind of plan that covers every segment of the educational program and relates each segment to all the other segments, a plan that makes sense because it develops and grows and changes as conditions change and we become wiser, a plan that can serve as a benchmark against which to

measure the usefulness of educational programs and to evaluate the work of the schools. Such a plan, at the state level, would assure equal opportunity for quality education at the local level, be the district rural and small or urban and large. The development of such a plan would lie within the province of the Evaluation and Planning Bureau.

Divest State Departments of Impediments

We have been talking about desirable additions to state departments of education. Let us now turn our attention to some of the things of which they should be divested.

Many state departments of education are hamstrung by impediments which cripple them to the extend that vigorous, innovative, imaginative departmental policies, decisions, and programs are virtually impossible. I am referring to state civil service, fiscal control by other state agencies, control by the state personnel board, "deadwood" and incompetency among personnel, and inadequate, noncompetitive salaries.

Centralized state government, characterized by civil service and state control of personnel administration and by the authority of the state department of finance over the department of education, poses, at the state level, potential disaster. The detrimental effects of this centralized system have been discernible for some time. The malady has been of the creeping variety, but its pace has accelerated in recent years.

Too many state departments of education must function only with the approval of the finance department, and frequently the salary schedule is established either in law or in the classified civil service. Under this archaic system, state departments must cope with difficulties similar to those that would be encountered if the local schools were subject to city civil service and the finance officer were a member of the mayor's cabinet and a part of municipal government. The only possible solution to this vexing problem is department autonomy.

In order to compete in the labor market, state departments of education should be able to modify salary schedules periodically. Local boards of education are so empowered, and find the process essential for staffing their schools. Similarly, state departments should be able to offer salaries that are competitive with thos paid to top-quality managerial manpower in business, industry, colleges and universities, and other professions. Currently, state departments secure their staffs largely from school systems, because salaries offered in the departments are competitive only with those in school systems. As a result, the departments are forced all too frequently to settle for mediocrity, and the resultant pile-up of "deadwood" and incompetency.

The rigidity and red tape of centralized state government place a heavy burden on the daily operational efficiency of state departments of education. The state civil service system and state personnel administration are unresponsive to exception--in general, no one has the administrative authority to override a rule or regulation although the situation justifies it. Under this system all employees suffer or gain together. Even if a department has the money to pay competitive wages, it cannot raise salaries unless all other agencies can raise theirs.

I submit that state departments of education are best qualified to know their own staff needs, and that salaries should not be subject to regulation by the department of finance nor should new positions require approval by the personnel department. Elimination of these requirements would, of course, mean the establishment of internal control within the departments of education. This is precisely as it should be.

Two major elements of concern in strengthening state departments of education, then are in the fiscal and personnel management areas. Here change is definitely needed. It seems reasonable to expect in government that those at the state level should know that those in the state department of education know what is best for the department, just as those in the state department should know that people in the local community know what is best for the community.

Once state departments are autonomous, they will be in a position to make better utilization of personnel, to recruit competent new personnel, and to compete in the labor market for the caliber of persons they require. Once state departments are autonomous, they can divest themselves of those employees who are unable to offer the kind and quality of leadership required or to perform effectively in departments adjusted to meet the educational needs of society. It is far more important that state departments of education prevail than that they merely function.

QUESTIONS

1. Have the state departments of education done their utmost to ain for the department itself the place it must have in the governmental structure if it is to do its work effectively? What should they do?

2. Is the state department of education in your state ready and able to take a new measure of what it means to be responsible to a popula-tion largely urban in terms of manpower needs, educational institutions, curriculums, services, and the distribution of funds?

3. Have the state departments provided the perspective that their staffs need from which to see the educational problems of the state and of the schools they are supposed to help solve? Is the perspective long enough to permit planning programs of education that will meet tomorrow's needs? How should the staffs proceed?

4. Does the state recognize the principle that the operating management of the state department of education should be delegated to the department by the state board of education, and that the operating manage-ment of the public schools should be delegated to local school districts?

5. Do the state departments have an overall program for the future--a plan for excellence that expands with the needs of society on a metropolitan or state basis?

6. Is the state department of education adequately staffed and sup-ported by the state board so that it is prepared to become the master link in the communication process--a link not only between government and government, but also between school and school, and between the public and all its schools?

7. Has the state board of education a high-caliber lay committee representing all social and economic interests which meets regularly and keeps the board and the department continually informed (on its own initiative and upon request) concerning current, emerging, and long-run needs of the schools for new and expanded educational programs and services?

8. What personnel should be employed to man the several new bureaus recommended in this paper?

CRITERIA AND PROCEDURES FOR REGULAR REVIEW OF TEACHER SALARIES, CERTIFICATION AND RETIREMENT PLANS

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I. General Comments

I have undertaken this assignment with great humility. We are dealing here with three of the most complex and sensitive areas intimately related to the quality of public schools. They are areas of great diversity among the states both in practices and in viewpoints held about them. There are simply no easy answers; and there certainly are, to my best knowledge, no universally accepted concepts about them.

I would not presume to appear before this group in the posture of an expert on either of the areas. I appear only as a long-time student of the problems under discussion, with years of experience with the developmental processes involved in each.

I have expressed the above as a prelude to saying that each state represented here has in its official family professional employees who are experts in each of the three areas. It is obvious that they should, both as a matter of courtesy and a matter of wisdom, have the opportunity to examine and react to my discussion of the problems and to my suggestions.

I express now some general considerations with which every state will be concerned.

We are still wrestling with the problem of an adequate supply of well qualified teachers. Run as fast as we may, like the Red Queen said to Alice, we must do this just to keep up. Obviously, we must run even faster to gain ground. Despite the fact that fully one-third of all first degree graduates of our colleges and universities each year have prepared for teaching--and this has been consistently true for many years--still we are plagued with shortages.

Why is this?

There are a number of factors involved.

There is the ever growing school enrollments with their insatiable demands for more teachers.

There is the ever growing demand of industry for college graduates.

There is the abnormal demand just now of the military service.

There is the ever growing demand of our governments for college graduates.

There is the appeal of graduate education.

There is the demand for teachers for new federally sponsored education programs.

Last September, for example, even the experts were shocked by the extent of the shortage. When they rechecked the reasons, it was found that these federal programs had absorbed something like 100,000 teachers who had been expected to go into the public schools or remain there.

The results of all this have been to further diminish, rather than enhance, the appeal of the public school teaching as a life career.

For example, industry is taking virtually all the college graduates it can get at starting salaries ranging from $1,000 to $2,500 above those for teaching. Moreover, industry is taking thousands of teachers for skilled and semi-skilled blue collar jobs, not requiring a college education, at salaries significantly above the starting or even average salaries of the nation's teachers.

While year after year teachers' salaries are raised, yet they inch along barely keeping in reasonable reach of the escalating cost-of-living index. I would, however, be less than honest if I did not say that remuneration is only one of the critical considerations bugging teachers. To state it bluntly, I seriously doubt that salaries alone will solve our teacher shortage. There must be a combination of adequacy of salaries and an overhaul of the teacher's job and status.

In my view, basic to the motivation of teachers is (1) to be relieved of the incredible overloading of the jobs, often with non-professional, routine, purely housekeeping chores, that can be done, and perhaps done better, by paraprofessionals, teacher helpers, and technological aids. (2) At the apex of human motivation is self realization--call it status, if you like. Teachers want up off the bottom of the barrel. They want a raise in the very real coin from being low man on the totem pole, to a status commensurate with their professional preparation and creative competence. The realistic answer to this aspiration is to make them directors of a team.

In the area of teachers' salaries, it seems evident as with the general financing of the public schools, that an increasing proportion will have to come from the states. In fact, much of the current clamor among teacher groups for collective negotiation rights will eventually focus upon state legislatures rather than upon local school boards, as is now largely the case, for the obvious reason that this is going to become the chief source of salary increases. Some observers feel that the ultimate solution of the teacher salary problem is a year-round school term, with participation of both students and teachers on a voluntary basis, as now exists in most colleges and universities, with a salary scale jointly financed by local, state and federal funds--a schedule that will be universal throughout the United States. There is no valid reason why a teacher in one state may be paid one figure and one with the same preparation and experience may receive as much as $3,000 to $4,000 more in another state. The schedule would provide one-fourth more remuneration on an annual basis for those teachers who elected full-year employment.

As to certification (and I have spent most of my professional career involved either directly as a state certification director or indirectly in working with state certification directors toward improving the process)--I know no other way to describe the situation than to characterize it as a jungle of confusions and contradictions.

We simply must find the means for agreements among the states which will bring about a sound, orderly, valid exercise of a function which is vested, and rightly so, in the respective states.

As it is now, we have so many minute prescriptions, so many certificates, so many differences that teacher education is hampered and interstate mobility of teachers is all too often defeated.

My comments are not intended to imply a criticism of those administering the certification requirement. In my judgment, the teaching profession itself is largely responsible. Each specialty wants the recognition and prestige of a separate certificate which tends to proliferate both the requirements and the number of certificates.

Retirement provisions not only are an important process in increasing the holding power of teaching, they also are inadequate and are probably the single most effective barrier to interstate movement of teachers.

TEACHERS SALARIES

Prevailing Conditions

In the school year 1966-67, the estimated average salary of all classroom teachers (not including Alaska, where the cost of living is estimated at one-fourth greater) for the country as a whole is $6,821. The range in the averages among the states is from $4,650 in Mississippi to $8,923 in Alaska. The average for elementary teachers is $6,609; and for secondary teachers $7,095. A total of 15 states have average salaries of $7,000 or more; about 47 per cent of all teachers are receiving $6,500 or more; in two states the average salaries are under $5,000.[1]

Almost 6 per cent of all employed teachers (about 106,000 are paid less than $4,500; and approximately 25 per cent (about 440,000) are paid less than $5,500. Nearly 53 per cent of all teachers (about 954,000) are paid less than $6,500.

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[1]Research Division, National Education Association. Rankings of the States, 1967.

The point at which the inadequacy of teachers' salaries is most evident is that of the starting salaries of teachers. In this school year, the median starting salary in school systems with enrollments of 100,000 or more is $5,400. In school systems enrolling 1,200 to 3,000 the median was $5,120. There is also wide variation in the median starting salaries for teachers by geographic regions. In the Southeast and Southwest regions the median of starting salaries were $4,600 and $5,000 respectively.

About 30 per cent of the schedules of the largest school systems are of the index or ratio type.

These average starting salaries for teachers contrast with those for bachelor's degree graduates in industry of $624 per month, or $7,488 on a 12-month basis.

TEACHER CERTIFICATION--PREVAILING CONDITIONS

In 1967, all but four states (Nebraska, North Dakota, South Dakota, and Wisconsin) and Puerto Rico required the minimum preparation of the bachelor's degree for beginning elementary teachers. All states (and the District of Columbia and Puerto Rico) required at least the bachelor's degree for high school teachers. Two states and the District of Columbia have minimum standards of five college years of preparation for high school teachers, but this standard is not being fully enforced in the two states.

The chief state education agency now has vested in it almost complete authority for teacher certification. Of course, some requirements (usually general requirements and special courses) are set forth in law. Also, in about a half dozen states certain cities or colleges are authorized to issue certificates to their teachers.

All states (except Missouri) either by action of the state board of education, state education departments or by state legislation, have established advisory bodies consisting of members of the profession, on teacher education and certification, in efforts to democratize the processes. In 12 states these bodies are established by law; in the others, they have been established by regulations of the state board of education.

A continuing problem of state certification is the relatively large number of separate name certificates issued. In 1950, the states issued about 1,000 certificates. By 1967, this number had been reduced to 549, an average of about 11 per state. The range in the number of certificates issued is from 1 to 57. This is in contrast to the almost universal practice in other professions of issuing only one legal license, leaving the certification of specializations to the profession involved.

Many observers believe that state teacher certification can be reduced to 5 or fewer, with a license to denote each level of preparation (bachelor's degree, master's degree, six years, and doctor's degree) with perhaps a probationary or provisional certificate below the bachelor's degree; and with all fields which the holder is qualified to teach endorsed on the appropriate certificate.

Also, many observers feel that state certification is attempting to serve too many functions. Most of these probably should be left to the local boards of education (for example, the enforcement of additional college work after a regular certificate has been obtained, as renewal requirements).

Accreditation of teacher education programs is another area of continuing controversy. A given teacher education program of an institution of higher education may hold, or be required to hold, three types of accreditation: (1) by its state department of education--usually called state approval; (2) by its regional accrediting association; and (3) by the national accrediting association (NCATE).

In some states, the standards and processes for state approval are inadequate or nonexistent. It is believed that all states should adopt standards and the state department of education provided with the means of establishing voluntary teams of experts to visit and apply these standards to a given institution. States have the task of giving basic approval for teacher education to a total of 1,198 colleges and universities.

There has been continuing controversy over national accreditation of teacher education, on the grounds that it is not necessary. Yet all the other recognized professions in American life (about 25) have found it necessary, because of the great diversity in state approval programs and in the quality of institutional programs, to seek to establish a floor of quality through a national professional accrediting process.

A major need is to achieve agreement on standards and procedures of state certification whereby qualified teachers may move freely across state lines in search of positions. While there is a high degree of such mobility, the degree is still not high enough.

Major barriers to interstate reciprocity are specificity of the prescriptions, great diversity in required courses, too many certificates issued, special courses required by states (such as state history and constitution) that may be discriminatory in application, diversity in accreditation, lack of flexibility in applying the requirements in the receiving state.

There is a widespread feeling that the times demand the derivation of "national standards," not federal or legal standards, but standards voluntarily arrived at by a consensus of the states and voluntarily enforced. If this movement does not develop, it appears to this observer that we will eventually have federal directives enforcing national standards.

One other vexing problem I shall mention. The states are still issuing about 100,000 emergency, sub-standard certificates each year. About 5 per cent of our teachers (or one in every 20) is now teaching on a sub-standard certificate. This is short-changing our children and demeaning to the teaching profession. And it ought to be stopped. This practice is virtually unknown in the other professions.

TEACHER RETIREMENT

All states in 1967 have statewide teacher retirement systems, either as such or statewide public employees systems to which teachers belong. The details on four state systems were not reported in the latest study of the National Council on Teacher Retirement. Thus the data I shall cite in most instances will be for 46 states and Puerto Rico.[2]

Thirty-five states have statewide systems for teachers; 12 states have state-wide systems for public employees to which teachers belong; and four states (Alaska, Delaware, Maine, and New Jersey) have systems but the nature is not reported in the latest NEA study. Ten of the state systems (of 35) for teachers alone do not provide for social security; 25 state systems do. Three of the statewide systems for public employees which include teachers do not provide social security; nine states do. Thus 34 of the 46 state systems reported provide social security coverage for teachers; 13 do not (including Puerto Rico).

Existing state retirement plans for teachers are of two types--the joint contributory and the pension plans. Only one state (Delaware) has a pension plan, in which the state pays all the costs. In the other states, the contributions are shared by the state and the individual teacher.

The joint contributory plans are of two types:

1. The cash disbursement plan--commonly called the pay-as-you-go plan, in which the state appropriates periodically only the money needed to pay its share of benefits for the employees already retired.

2. The reserve plan--the state appropriates money for contributions throughout a teacher's working years, thus building up a reserve. These contributions are paid in advance, based on actuarial projections, and are held in trust until the benefits are due.

The NCTR advocates the joint contributory system and the reserve plan, in contrast to the pension system and the cash disbursement plan.

Retirement systems also are classified according to benefit formulas--(1) the money-purchase type, and (2) the fixed-benefit type.

In the former, the benefit is computed in two portions, an annuity based upon the teacher's contribution and a pension provided by state contributions. The latter may be equal to the annuity earned by the member's contribution or it may be at a fixed rate.

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[2]NEA Research Division, National Education Association and National Council on Teacher Retirement. "General Information." Washington: The Association, December, 1965. 4 pp. (mimeographed)

Social Security. In 36 states and Puerto Rico some or all teachers are covered by social security. In 15 of these states, social security is fully supplemental to the retirement system, for those teachers covered. In 13 states, social security is coordinated with the retirement systems, in which the full benefits of social security are not available in addition to those of the state system.

Some 16 state systems provide survivors' benefits. In only four of these states are teachers covered by social security. The survivors' benefits are, of course, in lieu of refund of members contributions. The range in benefits is from $16 per month to $100, with the median being $38. Most systems provide some additional benefits to a widow with dependent children.

Major Problems

There are, of course, several serious problems in lifting all teacher retirement systems to adequacy, and keeping abreast of escalating price levels, and competing on reasonable terms with other governmental and private retirement plans.

One of the major problems is that of achieving reciprocity among retirement systems, to promote freedom of movement and employment of teachers from state to state. Recent studies indicate that at least 20,000 teachers each year take jobs in other states than that of their employment in the preceding year. The NEA in 1947 found that at least 30 per cent of the nation's teachers had taught in more than one state. It stands to reason that the percentage is probably much higher today.

The state teacher retirement systems have not found a workable plan whereby a teacher moving to another state is not compelled to lose membership in the system he is leaving and to lose credit for all or part of his past service. The net results of this weakness is to freeze teachers in service in the state of his initial teaching service, or the state in which he has compiled an extended service record. This situation has several unfortunate implications. Two of them are: (1) Teachers are impelled to forego opportunities for promotion and higher salaries, which in turn preclude the building up of higher retirement benefits; or (2) Teachers are impelled to abandon years of service credit and start all over again in another state to build up retirement benefits, often resulting in severe diminution of benefits on retirement. The big reason for failure to solve this problem is the inability of the states to meet the costs of a fair solution.

Some of the plans that have been adopted by a few states are as follows: (1) permit credit, for a specified number of years, by the receiving state for service in another state. (2) Permit the incoming teacher to pay into the system in the new state of employment the amount which would have accumulated had the teacher performed all of his service in the receiving state. Few teachers have that kind of available money, even though they may be able to withdraw their contributions from the first system; (3) The

contributions of the teacher in the first state may be retained to accumulate interest until the time the teacher retires when an annuity will be paid him by each system to which he has belonged. Several states permit the out-migrating teacher to leave his accumulated contributions in the retirement system and receive a deferred annuity.

Another major problem of teacher retirement systems is the woeful inadequacy of the income of teachers who retired several years ago on fixed annuities. The rapid price index rise throws these people further behind each year in the battle for subsistence. A few states (notably Wisconsin) have moved into the 50-50 fixed and variable annuity plan, which is in operation by the Carnegie Foundation's TIAA-CREF plan for College Teachers, in an effort to adjust benefits to higher price levels in the economy.

The plan recommended by NCTR as offering best hope for reciprocity among state teacher retirement systems is the early vesting with deferred benefits payable at retirement. Both NEA and NCTR urge that benefits vest after five years of service. This plan would provide that a teacher with five years or more of service who leaves one state, and does not withdraw his contributions, will receive at normal retirement age a benefit upon either the accumulated contributions of both the teacher and employer or the formula then in effect. The great advantage of this plan is obvious. The states receiving the services of a given teacher, for periods of five years or more, would share the cost of the benefits, rather than the receiving state having to carry almost all the burden. Presently, some 16 states have adopted vesting plan after five years of service.

Principle of Gradual Retirement. It seems probable that retirement provisions in the future will permit a gradual, step-by-step retirement rather than the harsh cut-off age now in general use. This will probably follow the format of reduction of work schedule beyond 65 (or whatever is the normal retirement age with full benefit) to a 3/4 time level the first year; then 1/2 time the second; 1/4 time the third year; and then the cut-off, or by administrative decision permitted to continue two more years at 1/4 time, depending upon the health and general effectiveness of the employee. There would be in this plan, of course, a comparable reduction in salary.

APPENDIXES

Table I-A
ESTIMATED AVERAGE SALARIES OF ALL
CLASSROOM TEACHERS IN PUBLIC SCHOOLS, 1966-67

	State	Average Salary
1.	Alaska (19-$6,692)	$8,923*
2.	California	8,450
3.	Hawaii	7,902
4.	New York	7,900
5.	Connecticut	7,460
6.	Delaware	7,450
7.	Illinois	7,400
8.	Nevada	7,390
9.	Indiana	7,377
10.	New Jersey	7,356
11.	Washington	7,330
12.	Maryland	7,308
	Massachusetts	7,300
13.	Michigan	7,300
15.	Arizona	7,230
16.	Oregon	7,000
17.	Minnesota	6,910
	UNITED STATES	6,821
18.	Pennsylvania	6,815
19.	Wisconsin	6,700
20.	New Mexico	6,630
21.	Colorado	6,625
	Rhode Island	6,625
23.	Ohio	6,534
24.	Utah	6,490
25.	Wyoming	6,450
26.	Florida	$6,430
27.	Virginia	6,400
28.	Iowa	6,396
29.	Louisiana	6,388
30.	Missouri	6,250
31.	Kansas	6,100
32.	New Hampshire	6,050
33.	Texas	6,025
34.	Montana	6,000
	Oklahoma	6,000
36.	Georgia	5,895
37.	Idaho	5,875
38.	Maine	5,825
39.	Vermont	5,700
40.	Tennessee	5,625
41.	Nebraska	5,619
42.	North Carolina	5,604
43.	Alabama	5,480
44.	West Virginia	5,450
45.	Kentucky	5,400
46.	South Carolina	5,343
47.	North Dakota	5,280
48.	Arkansas	5,013
49.	South Dakota	4,800
50.	Mississippi	4,650

Source: NEA Research Division, National Education Association. "Rankings of the States, 1967." Washington, D. C.: The Association, 1967. Research Report 1967-R1. p. 26.

*All dollar amounts for Alaska should be reduced by about one-fourth to make the purchasing power of Alaska figures comparable to figures reported for other areas of the United States.

Table II-A

THE INDEX SCHEDULE PRINCIPLE

About 16 per cent of the 1,104 salary schedules studied by the NEA Research Division in 1966-67 are of the index or ratio type. About 90% of these schedules related the index to the bachelor's degree minimum. Some index schedules relate the index to the minimum of each preparation level.

Below is the 1966-67 index schedule of the Springfield, Michigan public schools, a 12-step schedule with 5.5 per cent increment at successive steps, with the maximum at 1.725 times the minimum in each salary class, or preparation level.

Steps	Years	B.A.	M.A.	M.A.+30	Ratio
1	0	$5,600	$5,936	$6,272	1.000
2	1	$5,908	$6,262	$6,617	1.055
3	2	$6,216	$6,589	$6,962	1.110
4	3	$6,524	$6,915	$7,307	1.165
5	4	$6,888	$7,301	$7,715	1.230
6	5	$7,252	$7,687	$8,122	1.295
7	6	$7,616	$8,073	$8,530	1.360
8	7	$8,036	$8,518	$9,000	1.435
9	8	$8,456	$8,963	$9,471	1.510
10	9	$8,876	$9,409	$9.941	1.580
11	10	$9,269	$9,854	$10,411	1.660
12	11	---	$10,240	$10,819	1.725

Source: NEA Research Division, National Education Association. "Index Salary Schedules for Classroom Teachers, 1966-67." Washington, D. C.: The Association. February 1967, Research Memo 1967-2. 13 pp. (Mimeographed).

CRITERIA FOR REVIEW OF PROFESSIONAL SALARY SCHEDULES FOR TEACHERS

1. Should provide a schedule for beginning teachers, and career increments for experienced teachers, at levels competitive with industry and comparable to that of other professional personnel in the country.

2. The schedule should be a single salary schedule, based on preparation and experience, of the index or ratio type. (See attached suggestive schedule)

3. The maximum salary provided should be at least double the minimum.

4. The number of annual increment to reach the maximum should not exceed 15, preferably not more than 10, with full step placement for all teachers.

5. The schedule should provide recognition of teaching experience in other school systems (at least up to 5 years).

6. The schedule should provide incentives for professional growth, in the areas of advanced education, educational travel, and participation in curriculum development in the school system.

7. There should be provision for superior service maximums, above the regular maximum, for periodic reward of outstanding teachers.

8. The schedule in dollar amounts should be realistic in terms of the annual income of the teacher, and in relation to salaries paid to non-teaching professional personnel and to non-professional personnel.

9. Should include schedules for substitute, adult education and summer school teachers.

10. Should specify amounts, above the regular schedule, to be paid teachers for assigned extra duties.

11. Should provide a program of fringe or non-salary benefits, such as professional liability and health insurance; leave provisions.

12. Should be accompanied by written personnel policies specifying minimum preparation requirements; procedures for proper assignment of teachers only to their qualified fields; defining the length of the school day and year; providing reasonable class load.

RATING PLAN FOR TEACHER SALARY SCHEDULES

After several years of study, the NEA Research Division and the Salary Consultant Service Developed and issued in 1966-67, an objective procedure for evaluating teacher salary schedules nationwide. This was possible because only two criteria out of a total of 11 deal with dollar amounts. The remaining deal with widely accepted general principles which any schedule regardless of the dollars involved can meet. Only 40 per cent of the total possible score is based on dollar amounts; 60 per cent is based on schedule structure.

The initial rating scale or score card was pretested throughout the 1965-66 school year in 1,074 school systems enrolling more than 6,000 pupils and in 138 systems enrolling between 1,000 and 6,000 pupils. No schedule rated a perfect score of 100 points.

The following are the 11 tests on the scale with the maximum points assigned to each:

WEIGHTED SCORE RATING TESTS OF TEACHERS SALARY SCHEDULE

	Maximum Points
1. Dollar amount of the bachelor's degree minimum	20
2. Ratio of master's degree schedule scheduled minimum to the bachelor's degree scheduled minimum	5
3. Ratio of master's degree scheduled maximum to the bachelor's degree schedules minimum	10
4. Ratio of scheduled 6 year preparation maximum to bachelor's degree scheduled minimum	10
5. Dollar amount of scheduled maximum below the earned doctorate	20
6. Recognition of full-year preparation levels beyond the bachelor's degree class	10
7. Recognition of intermediate preparation levels beyond the bachelor's degree class	5
8. Number of increments in the bachelor's degree scale	5
9. Number of increments in the master's degree scale	5
10. Percentage relationship of average annual increment to bachelor's degree minimum	5
11. Consistency in scheduling differentials for advanced preparation	5
Total Possible Score	100

Note: See "Instrument for Evaluation of Teacher Schedules, 1966-67." (To be distributed to group)

Teacher Certification
Suggested Weighted Score Evaluation Card On
State Teacher Certification Procedures
(Maximum Possible Score: 100)

	Maximum Points
1. Minimum preparation requirement for initial certification (provisional) of bachelor's degree for both elementary and secondary school teachers	5
2. Minimum preparation requirements for full professional preparation of master's degree (regular, standard of professional) for classroom teachers	10
3. Minimum preparation requirement for special, auxiliary, or non-teaching professional personnel of 6 years	10
4. No substandard or emergency certificates issued (national average 5% of total)	5
5. A total of 5 or fewer certificates issued	5
6. Certification prescriptions are simply stated	10
7. The approved programs approach is used, specifying only the degree and areas of professional courses, and placing responsibility upon teacher education institutions for recommending candidates for certificates	10
8. Chief state education agency maintains legal or extralegal advisory council on teacher education and certification for constant review and refinement of requirements	10
9. Chief state education agency has developed standards and adopted procedures for approving teacher education institutions	5
10. Chief state education agency provides for a team of experts to visit institution applying for state approval and pass judgment on the quality of the program	5
11. Enforcement (or incentives) of professional growth beyond the master's degree level left to local school boards	5
12. The state has a professional practices act, establishing a professional practices commission	5
13. The state has established a professional standards commission (or board) or an extra-legal body to advise on flexible application of certification requirements in exceptional cases	5
14. Accreditation by National Council for Accreditation of Teacher Education as one means of expediting reciprocity	5
15. Has an approved plan for receiving teachers prepared in other states	5

Note: This is simply a suggested approach. It is not definitive and would require extensive study and refinement.

Table I-C
Reported Monthly Minimum and Maximum Benefits
in State Teacher Retirement Systems at
Age 65 and with 40 Years of Service

State	Minimum Monthly Benefits	Maximum Monthly Benefits	Median Annual Benefits to Those Retired Prior to June 30, 1965	Medial Annual Benefits to Those Retired During Last Retirement Year
Alabama	$100	$500	$1,466	$1,699
Arizona	146	729	*	*
Arkansas	154	240	2,362	2,172
California	267	915	*	*
Colorado	100	500	1,292	1,731
Connecticut	120	600	2,953	4,245
Florida	160	800	2,650	3,300
Georgia	130	700	1,371	*
Hawaii	160	800	*	*
Idaho	130	163	1,009	1,189
Illinois	133	600	2,030	3,114
Indiana	424	---	1,950	2,223
Iowa	83	200	360	480
Kansas	145	150	876	972
Kentucky	134	447	1,620	1,980
Louisiana	190	600	2,535	3,119
Maryland	114	571	2,483	2,737
Massachusetts	160	800	3,113	4,025
Michigan	80	530	1,954	2,645
Minnesota	124***	274***	1,334	1,551
Mississippi	50	450	689	910
Missouri	144	630	*	*
Montana	116	339	1,443	*
Nebraska	105	*	*	*
Nevada	130	650	*	*
New Hampshire	74	501	1,270	1,625
New Mexico	120	466	1,870	2,067
New York	276	552	2,410	3,534
North Carolina	80	520	1,097	1,390
North Dakota	125	175	1,132	1,266
Ohio	150	700	2,500	3,744
Oklahoma	176	215	1,404	1,461
Oregon	77	617	613	745
Pennsylvania	114	571	2,174	2,650
Rhode Island	133	666	*	*
South Carolina	129	906	909	1,051
South Dakota	25	51	334	357
Tennessee	107	750	*	*
Texas	150	371	1,680	1,980
Utah	40	160	993	1,293
Vermont	125	500	1,581	
Virginia	45	405	1,005	1,356
Washington	219	396	1,610	2,080
West Virginia	167	250	1,246	1,560
Wisconsin	70	428	*	*
Wyoming	97	347	550	300
Puerto Rico	144	720	1,104	2,400

*Data not given
***Without Social Security

Table I-C Source: "School Law Summaries" Prepared by NEA Research Division and National Council on Teacher REtirement (Series 1 -- Statewide Teacher Systems Without Social Security and Series 2 -- With Social Security). Washington, D. C.: The Association, September, 1965. (Mimeographed by states).

Table II-C

Minimum and Maximum Monthly Retirement Benefits
for Teachers in State-Wide Systems
at Age 65 with 40 Years of Service*

Minimum Monthly Benefits	No. of States	Maximum Monthly Benefits	No. of States
$50 or below	4	$100 or below	1
$51 - $100	9	$101 - $200	5
$101 - $150	23	$201 - $300	3
$151 - $200	7	$301 - $400	4
$201 - $250	1	$401 - $500	7
$251 - $300	2	$501 - $600	10
over $300	0	$601 - $700	6
Total	46**	$701 - $800	6
		over $800	2
		Total	46
Range: $40 - $276		Range: $51 - $915	
Mode: $101 - $150		Mode: $501 - $600	
Median: $101 - $150		Median: $501 - $600	

* Most states have provisions for earlier retirement ages with fewer years of service at lower amounts, as well as provisions for retirement at higher ages and longer periods of service at higher benefits. The above figures are based upon the normal retirement age and service record in most states.

**Does not include details of 4 state systems.

Source: Adapted from data given in Table I

Table III-C

STATE-WIDE RETIREMENT SYSTEMS FOR TEACHERS
ACCORDING TO TYPES AND RELATIONS TO SOCIAL SECURITY

State	Systems Restricted To Teachers		Public Employee Systems Including Teachers		State	Systems Restricted To Teachers		Public Employee Systems Including Teachers	
	With Social Security	Without Social Security	With Social Security	Without Social Security		With Social Security	Without Social Security	With Social Security	Without Social Security
Alabama	X				Nevada				X
Arizona			X		New Hampshire	X			
Arkansas	X				New Mexico	X			
California		X			New York	X			
Colorado				X	North Carolina			X	
Connecticut		X			Nebraska	X			
Florida		X			Ohio		X		
Georgia	X				Oklahoma	X			
Hawaii			X		Oregon			X	
Idaho	X				Pennsylvania	X			
Illinois		X			Rhode Island				X
Indiana	X				South Carolina			X	
Iowa			X		South Dakota	X			
Kansas	X				Tennessee	X			
Kentucky		X			Texas	X			
Louisiana		X			Utah	X			
Maryland	X				Vermont	X			
Massachusetts		X			Virginia			X	
Michigan	X				Washington	X			
Minnesota	X				West Virginia	X			
Mississippi			X		Wisconsin	X			
Missouri		X			Wyoming			X	
Montana	X				Puerto Rico	X			
North Dakota	X								
					TOTALS	25	10	9	3

Source: "School Law Summaries (Retirement)" Prepared by the NEA Research Division and the National Council on Teacher Retirement. December, 1965. (Multilithed).

Does not include classifications for Alaska, Delaware, Maine, or New Jersey.

SUGGESTIVE CRITERIA FOR REGULAR REVIEW OF STATE TEACHER RETIREMENT SYSTEMS

1. The system provides adequate benefits upon retirement, with a minimum of 30 years of service.

   Minimum provisions -- at least 50 per cent of the average of the highest five years of salary.

   Desirable -- two-thirds to three-fourths the average of the highest five years of salary.

2. The system provides a formula for calculating benefits which is simple enough for members to make their own calculations.

3. The system provides for benefits before age 65.

   Minimum -- reduced benefits based on actuarial adjustments.

   Desirable -- full benefits at age 60 with specified number of years of service.

4. The system provides for disability benefits before retirement.

   Minimum -- benefits based on service to date and/or social security.

   Desirable -- benefits of at least 50 per cent of pay or more (with social security) or full benefit based on service to normal retirement.

5. The system provides benefits to survivors if death of member occurs before retirement.

   Minimum -- benefits based on service to date and/or social security, or one year's salary in addition to contributions.

   Desirable -- benefits of 50 per cent or more, including social security, or full benefits based on service to normal retirement.

6. The system provides benefits for widow if death of member occurs after retirement.

   Minimum -- joint and survivor option.

   Desirable -- benefits equal to or greater than 50 per cent of the employee's benefits.

7. The system provides for gradual retirement beginning at age 65.

   Minimum -- reduction of work load and pay, year-by-year, over a three year period (by one fourth each year).

   Desirable -- reduction of work load and pay as in the minimum, plus a specified allowable number of days work per year beyond the three year step-by-step limitation.

8. The system provides for protection of benefits against inflation.

   Minimum -- benefits based on final average earnings.

   Desirable -- post retirement adjustment or variable annuity plan during employment.

9. The system provides medical expense protection.

   Minimum -- Medicare or its equivalent.

   Desirable -- pre-retirement coverage and Medicare.

10. The system provides vesting of contributions.

    Minimum -- below 50 years of age and 20 years of service.

    Desirable -- ten years of service or less.

11. The system provides for social security coverage of members.

    Minimum -- coordination of social security in the system.

    Desirable -- supplementation of social security to the system.

Note: A number of sources have been drawn upon in compiling the above suggestive list. Among these are:

Roy L. Lillywhite, Secretary, National Council on Teacher Retirement, "A Critical Analysis of Present-Day Teacher Retirement Provisions." Mimeographed speech at AASA Convention, February 15, 1960;

Davis S. Roenisch. "How Are We Meeting the Needs in Public Employee Retirement." in the Proceedings of the Forty-Fourth Annual Meeting of the National Council on Teacher Retirement. pp. 53-60.

EDUCATION BEYOND THE HIGH SCHOOL:

INTERRELATION OF ACADEMIC AND

VOCATIONAL-TECHNICAL EDUCATION

by

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I INTRODUCTION--A STATUS REPORT ON THE TWO-YEAR COLLEGE

In case you hadn't noticed it, the two-year college has you surrounded. Every state except Nevada now has one or more two-year colleges in operation, and some states (California with 82, New York with 66, Florida with 29, and Michigan with 27) can make the boast that there is a junior college within commuting distance of 70 to 90 percent of college age youth. Nationally, there were 565 public two-year colleges in operation in 1966, and 272 private colleges. These 837 colleges, most of which are members of the American Association of Junior Colleges, enrolled more than 1,464,000 students, both youth and adults, in 1966. One student in every four beginning his program of higher education in the fall of 1966, did so in a junior college. For the past five years new two-year colleges, mostly of the publicly-supported variety, have been established at a rate of from thirty to fifty per year. If the same factors which have conditioned the phenomenal growth of these colleges in the recent past continue to exist, and there is no reason to suppose that they will not, it is quite probable that the year 1972 will see more than 1000 two-year colleges in operation enrolling as many as 2.5 million students.

Types of two-year colleges. Without too much over-simplification a taxonomy of two-year colleges can be accomplished with five categories:

1. Public community (junior) colleges, operated by a community, a district, or a state, and offering a comprehensive educational program featuring lower division college-parallel programs, two-year associate degreee occupational education programs, and short-term occupational programs.

2. Privately controlled junior colleges, usually emphasizing lower division programs in the liberal arts and sciences. Many of these are church-related institutions. Not many offer programs of occupational education.

3. Technical institutes, specializing in collegiate-technical programs in engineering technology and related fields. These may be privately or publicly controlled, and are ordinarily single purpose institutions for the education of engineering technicians.

4. Two-year extensions or branches of universities. These colleges have essentially the same admission standards as the main campus, and offer a regular program of lower divison arts and sciences. Some of them also have a technical institute division. Some also offer pre-porfessional courses.

5. Post-high school vocational-technical schools, or "area technical schools". These institutions, which are becoming quite numerous in some states, are not really colleges, but they are post-high school institutions. Their numbers and enrollments were not included in the status and projection figures cited above. In general they do not offer any kind of degree, are not accredited by regional accrediting agencies (although there are recent moves in this direction, notably in

Wisconsin), and do not provide quality programs of general education. Their function is to provide specialized post-high school vocational and technical education for youth and adults, either for entry employment or for job mobility.

Of the five kinds of schools listed, only two seem to have a significant growth potential--the public community junior college, and the area vocational technical school. The growth statistics cited above are almost entirely from the public community-junior college sector, and it is this uniquely American institution which has emerged as the most dynamic educational movement of the mid-twentieth century. What kind of institution is it, and what promise does it hold for Americans of this and future generations?

II CHARACTERISTICS AND FUNCTIONS OF THE COMMUNITY JUNIOR COLLEGE

At this point a brief look at the purposes and programs of the public junior college may be helpful. Generalities are risky here, as in any attempt to describe social insittutions, but many of the following statements would apply to most public community colleges:[2]

1. Tuition charges are nominal--in some states entirely absent.

2. Admission standards (to the college) are not restrictive. In many states the "open door" policy is in effect--any high school graduate or any person over eighteen may be admitted to the college. (Admission to specific courses or programs, however, is controlled.)

3. A lower division program of arts and sciences (the "transfer program") is offered for those students whose goal is the eventual completion of a baccalaureate degree.

4. A comprehensive program of one-year and two-year curriculums in occupational education is offered, for those students whose immediate goal is employment.

5. Considerable emphasis is placed on general education, both in the college-parallel program, and in the two-year occupational programs.

6. The associate degree is awarded upon completion of both the college-parallel and the occupational education programs, provided general education requirements and credit hour requirements (usually 62 credit hours minimum) are met.

7. Guidance and counseling services are provided for all students--youths and adults, day and evening. Testing services, occupational information, career counseling, educational advisement, and program planning are all included in this service by the better colleges.

8. A program of continuing education and community service is offered. Frequently it involves greater numbers of persons than are enrolled in the regular-day classes.

9. In most states control is vested in a local board of trustees elected by the people of the junior college district. Typically, the student, the local district, and the state share in the cost of annual operation; and the state and local district share the capital expenditures. A few states have recently established "state systems" of community colleges with tight control of all operations being vested in a state board and its executive officers.

10. There is generally a commitment to opportunity for all who can profit from post-high school education and training.

Here then is an institution with a three-fold purpose: (1) academic, liberal arts, pre-professional education for baccalaureate degree-bound students; (2) occupational education for students whose career goals involve the middle manpower spectrum of jobs; and (3) general education for all who have the desire and the perseverance to profit from it.

III OCCUPATIONAL EDUCATION IN THE TWO-YEAR COLLEGE

The Impact of Technology

If the impact of technology teaches us anything at all, it teaches us that some cherished beliefs about education are utterly false. The idea that liberal arts education is for the few, for the cultured and ruling elite, and that mechanical arts or practical education is for those who will work and be ruled, is dead. The surge of technology has brought about a situation in which almost all work which men do has cognitive content. Non-cognitive work is increasingly being accomplished by machines. According to a top executive of the Ford Motor Company, a person needs at least twelve years of education today to compete with a machine. The old dichotomy between liberal arts or academic education and practical or vocational education, if it ever had any currency, is now meaningless. After a thousand years we must come to the realization that higher education is not a cult for the few, but a driving force for the economic and cultural development of nations.[3] In modern industrialized societies, rich and poor alike work; and those with the greatest amount of education are quite likely to work the hardest. One can predict a reversal of Aristotle's "education for leisure" idea in our time by noting that the only sure guarantee of leisure today is a lack of education.

In a prior time the well educated were the leaders, accomplishing the thinking and the planning and the governing functions in society. "Work" was largely manual and was accomplished by the masses with only a modicum of education or vacational training being required. Occupations were, for the most part, capable of being classified in three categories:

(1) professional and/or managerial, for which an academic and theoretical education was required;

(2) trade and craft, for which vocational training or a period of apprenticeship was required, and

(3) common labor jobs, which required only physical strength and a will to work.

As a result of the technological revolution, however, a complete new

spectrum of occupations has developed in between the professional and managerial jobs on the one hand and the trade and craft jobs on the other. These new "semi-professional" jobs have increased by the hundreds of thousands in the past three decades until today we find that such segments of the economy as industry, business, agriculture, health and medicine, and public service are almost as dependent on the contributions of semi-professional and technical personnel as they are on the work of professionals in the respective field. Ther term, "middle level manpower" or simply, "middle manpower" has been proposed as being descriptive of persons who work as semi-professionals and technicians in jobs which usually require both cognitive effort and manual skills.

The Spectrum of Middle Manpower

Loosely defined, "middle manpower" can be described as that portion of the total manpower spectrum which is concerned with jobs with a balanced cognitive-manipulative content. At one end of the middle manpower "band" are jobs which are nearly professional in nature (e.g. science research technician) with a very high cognitive-to-manipulative ratio. At the other end are jobs closely related to the skilled trades (e.g. television service technician) where the cognitive-to-manipulative ratio is reversed. In general (but there are many exceptions) it can be said that middle manpower occupations require post-high school education and training of one, two, or three years, but that for most of the jobs, a baccalaureate degree is not a requirement for entry into the job nor for successful performance on the job.

Some definitions may be helpful at this point. There is not complete unanimity among educators and manpower analysts on the following definitions, but there is enough agreement among representatives of two-year colleges that the definitions may be useful here.

1) Occupational education is a generic term applied to any and all education and training programs designed to prepare persons of any age for employment in any field. The term encompasses all levels of education and training programs, from those offered in colleges and universities to those offered in high schools or vocational schools, or in in-plant training programs.

2) Professional education is a term applied to the education and training programs offered by graduate professional schools in universities; as, for example, law schools, medical schools, engineering schools.

3) Semi-professional education is composed of those formally organized college-level curriculums (usually of less than baccalaureate degree length) which lead to employment in career fields which are near professional in status and job performance. The cognitive-to-manipulative ratio is relatively high. Some examples of these jobs are: engineering technician, associate degree (registered) nurse; science research technician, medical laboratory technician, legal secretary, surveyor, etc. Semi-professional education programs generally include a core of general education.

4) Technical education is a very troublesome term to define. It has become so popular in the past decade that there is real danger that

it will have lost any real maning for educators. High schools and vocational schools now speak glibly of their "technical education" programs, and certain proprietary schools of questionable quality importune the gullible public to enroll in their sixteen-week or forty-eight-week correspondence courses and prepare for a career as a "technician". Some educators in recent years have begun to use the term to apply to nearly all occupational education, including programs in health fields, in business, in trade and industrial fields, and public service. There is a rationale, however, for a delimitation of the meaning of the term to apply only to those post-high school programs with strong content in applied sciences, mathematics, and the machanic arts, and intended to produce semi-professional workers.

From this perspective a definition[4] can be proposed which says that technical education

a. contains a theoretical, or supporting core of applied mathematics and science.

b. is post-high school in level and is ordinarily organized into two-year curriculums of some 64 to 74 credit hours, leading to an associate degree.

c. maintains a carefully calculated balance between cognitive content and actual practice in the use of tools, machines, and instruments.

d. leads to occupational competence at either the semi-professional level or the very highly-skilled level.

e. includes a core of general education (social science, English, humanities, etc.) making up at least one-fourth of the total credit hours.

5. Trade and industrial education is a perfectly good term to describe pre-employment vocational education programs leading to employment in jobs at skilled and semi-skilled levels, or leading to entry into an apprenticeship program for the skilled trades. Lately this term has fallen out of favor as secondary and vocational schools have, for status-seeking reasons, appropriated the term "technical" or "vocational-technical".

6. Business education probably enrolls more students than any other field of occupational education. Many high schools have good business education programs realistically preparing young people (girls, especially) for entry jobs at semi-skilled and skilled levels. Post-secondary education is ordinarily required, however, for such job fields as secretary, business data programmer, business management, sales and advertising, finance and credit, and the like.

7. Health occupations education is one of the most rapidly growing fields today. Most of these programs are at post-secondary levels and provide education and training for such jobs as associate degree nurse, medical laboratory technician, psychiatric technician, dental assistant, etc. Most of these semi-professional fields have

their own national associations, with standards for membership. Many of the jobs, and the educational programs for them, are regulated by state laws.[5,6]

8. The service occupations represent a relatively new field. Included are jobs in the public service such as law enforcement and conservation jobs; and jobs in the private sector like those found in the hotel and restaurant management field. These occupations represent a growing field of employment, and many two-year colleges are initiating educational programs on a one- or two-year basis.[7]

9. Agriculture education has experienced some decline in recent years. However, as "Vo-Ag" programs have experienced decreasing enrollments, agriculture technology and agri-business programs have been increasing, particularly in two-year colleges, as a result of the impact of technology on American agriculture.[8]

In the context of these definitions, there follows a listing of jobs which are generally recognized as falling within the middle manpower spectrum. They are grouped in "families" or "clusters" of jobs, and educational programs at the associate degree level are already well developed on junior college campuses from coast to coast, for most of the job titles listed. The list is merely illustrative, not complete. Hundreds of job titles would have to be added to exhaust the possibilities. The "clusters" or "families" do, however, present a fairly good idea of the dimension of middle manpower.

1. Business - related occupations

Accounting--bookkeeping
Advertising layout
Business data programming
Buying--purchasing
Credit and collection
Insurance
Real estate
Salesmanship
Secretary (many options)
Stenographer
Store management

2. Health - related occupations

Dental hygienist
Dental laboratory technician
Dental office assistant
Histologic technician
Inhalation therapy technician
Medical laboratory technician
Medical office assistant
Mental health worker
Prosthetic technician
Psychiatric aide
Radioisotope technician
Registered nurse (A.D.N. or diploma)
X-ray technician

3. Research - related occupations

Ballistics technician
Biological technician
Bio-physical technician
Chemical technician
Geophysical technician
Hydrographic technician
Mathematics aid
Metallurgical technician
Meteorological technician
Oceanographic technician
Physics research technician
Spectroscopy technician

4. Engineering - Industry related occupations

A. Related to mechanical occupations

Air-conditioning/refrigeration technician
Automotive technician
Foundry technician
Draftsman (several options)
Hydraulic technician
Industrial technician
Materials test technician
Operating "engineer"
Plant foreman
Quality control technician
Tool and die technician

B. Related to electrical/electronic occupations

Aerospace technician
Electrical power technician
Electronic technician
Options: Communications
Computer
Industrial electronics
Radio
Television
Telephone
Microwave
Hydroelectric plant operator
Instrumentation technician
Missile technician
Steam plant operator

C. Related to contract construction and civil engineering occupations

Architectural draftsman
Building construction technician
Concrete test technician
Estimator
Materials test technician
Regional planning technician
Sanitation technician
Specifications writer
Surveyor

D. Miscellaneous technical and skilled occupations in industry

Ceramics technician
Chemical technician
Engineering technician
Nuclear power technician
Optical technician
Petroleum technician
Radioisotope technician
Sales "engineering"
Technical illustrator
Technical writer

5. Public Service and Personal-Service Occupations

Air pollution control technician
Chef (cook)
Educational media technician
Environmental control technician
Fireman (fire department)
Fish and wildlife technician
Forestry technician
Hotel and restaurant occupations
Law enforcement occupations
Mosquito abatement technician
Nursery school operator
Social worker aide
Teacher aide

6. Agricultural Occupations

Agricultural research technician	Feed mill operator
Agri-business jobs, n.e.c.	Foods processing technician
Crop-duster (aviator)	Frozen food plant operator
Farm equipment repairman	Irrigation specialist
Farm equipment salesman	Landscape designer
Farm supplies salesman	Nursery operator
Farmer (Owner or manager)	Soils technician

The above listings constitute a "broad brush" picture of middle level manopwer. Since present Bureau of the Census and Labor Department data collection schemes are relics of the past, it is very difficult to obtain accurate information on the true size of the middle manpower labor force. Recent studies have been made with respect to technicians in industry, engineering, and science, however, and a conservative estimate would indicate that there are now nearly 1,000,000 persons filling technician jobs in these fields alone.[9] When middle level jobs in business, health, agriculture, public service, education, and hospitality fields are added to the above total, it is entirely realistic to estimate that there are, this year, well over 10,000,000 persons in the middle manpower segment of the labor force. Serious shortages of professionals in almost all fields indicates that the demand for semi-professionals will continue to increase. It is my prediction that by the mid-1970's one person in every five in the labor force will be engaged in jobs whose cognitive-to-manipulative content ratio would place them in the middle manpower spectrum as above defined.

Where will these millions of persons be educated and trained? Some college graduates will, for a variety of reasons, gravitate toward semi-professional jobs. And, without doubt, significant numbers of high school graduates will, through on-the-job training combined with evening courses or correspondence study, move into semi-professional and technical jobs. But the vast majority of the semi-professional workers of the future will be educated and trained in the two-year colleges of America. These colleges are making a real commitment to occupational education, and many of them are offering educational programs for scores of middle manpower occupations. The decade of the 1970's will see the associate degree firmly established as the recognized educational base for semi-professional and technical jobs just as the high school diploma is now looked upon as the minimum educational standard for entry into skilled trades and crafts jobs. In most states, by 1975, half of all high school graduates will be "going on to college" in two-yea. colleges,* and perhaps half of all these will be in occupational programs.

IV ASSOCIATE DEGREE OCCUPATIONAL PROGRAMS

Job training, per se, is not the sole or indeed the most important ingredient in associate degree occupational education programs. All college-level occupational education programs should, and most do, present a well-balanced "mix" of specialized technical courses, background theory and

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* In some states this figure is already over 60 per cent.

supporting courses, and general education courses. I have already made reference to the unreality of the liberal arts curriculum as a standard for all of higher education in today's world. By the opposite token, though we live in an increasingly machine-oriented society, man himself is not a machine, and any college-level education program should incoporate some degree of confrontation between students and the ideas men have reflected about through the centuries. It would be difficult indeed to prove that a given amount of general education in a college curriculum will produce a predictable amount of insight into the problems of self, family, and society, but experience seems to indicate that education and wisdom are at least slightly positively correlated, and that the closer one's life work is to professional pursuits, the greater the need for the liberal arts, and for humanistic and theoretical content can be related, in the two-year college setting.

This content includes:

1. A general education core required of all students whose goal is an associate degree in any occupational education field. This core of courses provides a foundation for intellectual, social and cultural growth. It broadens the educational base of students and will assist them in adapting to changing occupational and social conditions, and in becoming active, useful citizens in a free society.

2. A basic theory-and-supporting-subject core, unique to each "family" or "cluster" of occupational programs. These courses comprise the essential core of basic theoretical knowledge unique to each family of occupations. Mathematics, physics, biology, chemistry, economics, graphics, and like courses are found in this core.

3. Specialized courses for the chosen occupational field, selected and planned to produce occupational competence at a semi-professional level of performance.

Chart I illustrates this model.* Pre-counseled students, if they meet entry standards set for associate degree programs, will be enrolled in a freshman program which is a blend of general education core subjects, basic core subjects and the specialized technical subjects must be carefully and jointly planned so that the mathematics, physics, life science, or graphics content necessary to the successful pursuit of the specialized technical subject will be mastered prior to the time it is needed. Both <u>scope</u> and <u>sequence</u> must be carefully evaluated, and this requirement frequently necessitates an abandonment of "classic" courses and sequences in mathematics, physics, and chemistry in favor of courses developed <u>especially for the particular curriculum</u>. To some extent "standard" freshman courses can be used for the general education core, but here too it is frequently necessary to develop new courses for occupational curriculums. As an example, in a two-year program there is often not enough time for separate courses in history, economics, political science, and sociology. Yet, it could be

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*Originally prepared for a paper by the author in <u>Emphasis: Occupational Education in the Two-Year College</u>, American Association of Junior Colleges, Washington, D.C., 1966.

rationally argued that a two-year college graduate should have been confronted with ideas from all of these disciplines in such a way that some integration of ideas might occur. A new course, with selected content from the several disciplines, and with a planned integration of ideas is frequently necessary.

Quantitatively, associate degree occupational programs could provide competent graduates in two academic years with a total of some 62 units of work, if the entering students were really ready to begin college work. Realistically, most students need some remediation, however, and consequently the associate degree program usually involves some 70 to 76 credit hours.

The case for general education.

Much controversy exists over the value of general education in post-high school occupational education programs. Some persons, and among them are many vocational educators, feel that education in the common learnings should end, for all but the intellectual elite, with high school. Education and training for occupational competence, it is said, especially in the exploding technology of today, must be highly specialized and concentrated on the knowledge and skills specifically required by industry and business. Time spent on general education will hinder the development of real job competence, it is feared.

But the basic problems of man's existence today are not centered in business, industry, or technology. Man's basic problem is really himself, his beliefs, his loves and his hates, his attitudes, and his relationships with others. Technology and an affluent society have removed most of the old adversities from American life, and their very absence poses a problem. If, in truth, "the uses of adversity" are sweet, what happens to man when most adversities are removed? Does man himself become the only adversary?

A critical need today is for a concern at all levels about the problems of society. In a democracy the tone of living, the value system, the goals men seek, are not set by an intellectual elite, but by the mass of the people themselves. The community junior college is in the best possible position to engender an increased level of concern among so-called average citizens, for it is by nature and purpose designed to serve the rank and file of the people. If we believe in education at all, and there is evidence that education has become almost the national religion of America, we must believe that general education--the common learnings--the liberal arts-- has value for all citizens, including those whose work is highly specialized. Most persons work for less than half their waking hours. The quality of their responses during their "living time" is certainly as important as the competence of their actions during their "working time."

V THE ACADEMIC, OR COLLEGE-PARALLEL, PROGRAM

Most two-year colleges, public and private, consider that the provision of a quality program of lower division arts and sciences is a major function. The term "college-parallel program" and "transfer program" are used to describe this function.

In addition to a full range of freshman and sophomore liberal arts and science courses, many of the larger junior colleges also provide pre-

professional sequences of courses designed to prepare students for upper-division work in such diverse fields as business administration, agriculture, engineering, architecture, nursing, teaching, forestry, police science, home economics and other fields. Studies made by Medsker and others [10,11] over the past ten years bear out the following conclusions, with respect to public community junior colleges:

1. Nearly two-thirds of entering freshmen students will elect the transfer program, unless strongly directive counseling procedures are used.

2. Only about one-fourth of entering freshmen "transfer" at the end of two years, and only about one-third ever do.

3. Transfer students drop behind "native" students and behind their own junior college records, in scholarship, <u>during their first term</u> at the senior college. This differential may range from 0.5 to 1.0 g.p. on a 4.0 scale. In succeeding terms those who persevere bring up their scholarship until, by graduation, they are only very slightly behind the "native" students.

4. Since junior college "transfers" are largely from a group of students who were inadmissible to the four-year college to which they later transfer, this negative g.p.r. is to be expected.

5. In general, it can be documented that junior college transfers on the average, do nearly as well in their upper division work as do native students. Many, of course, graduate with honors, and some, indeed, graduate <u>summa cum laude</u>.

Obviously, the central purpose of the transfer program of the two-year college is to prepare students for successful study in the upper division programs of four-year colleges. Other outcomes may also be desired, but if this central purpose is not achieved the transfer program of the junior college is a failure. Articulation between junior colleges and senior colleges is essential in order that lower division programs which are truly college-parallel may be planned and operated. Most universities and four-year colleges staff an office whose major purpose is articulation with the junior colleges of the region or state. And most junior colleges provide for one or more liaison committees whose purpose is to evaluate continuously the courses and curriculums of nearby four-year colleges so that the comparable junior college courses and curriculums can indeed by kept "parallel".

Hardly anything in America is prized more than a bac calaureate degree from a recognized college or university. This insatiable drive for an academic degree on the part of youth and their parents creates almost insuperable problems for those whose major responsibility is planning and operating a quality program of college-parallel education. Students entering junior colleges as freshman and desiring the transfer program have been variously categorized as follows:

1. The "eligibles" -- those whose high school grades and college board scores make them admissible to nearby four-year institutions, but who choose the junior college anyway.

2. The "ineligibles" -- those students who are not academically admissible to any nearby four-year institution, and who come to the junior college of necessity, because it is "open door".[12]

Among the "ineligibles" is a sub-group of students labelled the "late bloomers" -- students with good academic potential, whose increased maturity will soon assert itself and make even themselves wonder why they wasted the high school years. A much larger sub-group (usually comprising over half of the entire group desiring the transfer program) is the "give-it-a- try" group, all of whom insist upon the chance to try the transfer program even when test scores, high school grades, interest test results, and counselor interviews all point to probable academic failure.

With such a diverse group of students (and non-students) in hot pursuit of the academic fox among the rocky hedgerows of collegiana, it is no wonder that many are unhorsed at the first jump. Those who are not so discouraged as to quit the hunt entirely are brought back to join a large group who wisely elected to take some academic "riding lessons" before pouncing after the pack. Remediation is a very important factor within the transfer program, and it takes many forms, including developmental English, remedial reading, mathematics review courses, and orientation courses. The term "salvage function" is commonly used to describe the process whereby through remediation, the community junior college readies the unprepared student for bona-fide college level study in the transfer program.

Even as some respond to remediation and succeed, others (many, many others) find even the remediation too demanding and fall by the wayside. This process, whereby the junior college sifts out those with the requisite capability and graduates them on to the four-year college, and allows others to convince themselves that an academic degree is not their "cup of tea," is generally known as the "screening function." And, although it is never a joyous occasion when one realizes the unattainability of a much-desired goal, the trauma is measurably less in a junior college where the opportunity exists for lateral mobility into an associate degree occupational program, than it is at the university where academic dismissal and ignominious departure are the only concomitants.

This is not to say that occupational programs are filled with academic rejects--far from it! Most students in occupational education programs choose those programs with the help of a college counselor, because factors of interest and ability as evaluated from high school grades, achievement and intelligence test scores, and interest tests all point to the wisdom of such a choice. However, many "would-be transfer students" do come to more considered judgments after a semester or two and transfer laterally within the institution instead of vertically to another institution.

A strong guidance program is the key to success in operating such a comprehensive institution as the community college. More will be said about guidance in the next section.

IV. QUALITY WITHIN DIVERSITY--HOW CAN YOU BE COMPREHENSIVE AND STILL BE GOOD?

Some persons who share this ball with us in time, but would prefer to be sharing it with Aristotle, or St. Thomas Aquinas, or Cardinal Newman, firmly believe that colleges have no business engaging in any kind of vocationalism or professionalism. They believe, with Aristotle, that "the aim of education is the wise use of leisure." If, with a quick parry and thrust we could score the point that most work today is so cognitive that it is more and more like education,[13] and the sophistication and complexity of many jobs are such that college-level programs are essential to competent performance, the grudging suggestion would then be, "Then set up some technological institutes the way the Europeans do. For Heaven's sake keep vocationalism out of our colleges."

Recently Mr. W. H. Ferry of the Center for the Study of Democratic Institutions in Santa Barbara voiced his ivy-covered (and incidentally quite undemocratic) views by urging the California junior college faculties to persuade the legislature to relieve the junior colleges of technical and vocational training. Mr. Ferry intoned,

> "Meeting this statutory obligation (i.e. to provide occupational education) is delaying the proper development of the most exciting of experiments--in higher education. It is a distracting, time-consuming, costly, and irrelevant obligation--you have far more important concerns than readying young men and women for the job market."[14]

One wonders what Mr. Ferry's motivations really are! Perhaps the cost of occupational programs concerns him, since he mentions that factor. Is it then a justifiable charge on the public purse to furnish two years of college free to future artists, musicians, teachers, lawyers, and assorted critics of society; but unjustifiable and "irrelevant" (Mr. Ferry's term) to invest public monies in the education and training of future secretaries, technicians, nurses, and accountants?

But perhaps it is the time-consuming, distracting factors which worry him most, since he mentions them before the item of cost. Taking time away from what? A distraction from what proper purpose? Mr. Ferry doesn't actually verbalize it but the inference is clear. He thinks the time spent on youth with average academic abilities to prepare them for their next goal in life is of little value compared to time spent on youth with superior academic abilities to prepare them for their next goal. Here is the old elitist philosophy in its most rancorous form, and now even junior colleges should not have any vocational function, say the voices from the past.

This nation will rise or fall in direct measure as the mass of the people are educated. There is no place in a democracy for an elite, perhaps least of all an intellectual elite. I trust that the good non-intellectual in the California legislature will give short shrift to the medieval ideas emanating from the Hutchins-Ferry cloister in Santa Barbara.

The comprehensive community college is a relatively new idea. It is difficult and costly--yes, sometimes almost distracting--to provide the wide diversity of programs and courses required and keep them all of high quality. It takes administrative leadership and faculty commitment to the concept that all youth are important--not just the bright ones; to the democratic idea that all work has dignity--not just the cognitive work; to the proposition that public monies shall be invested fairly in all youth, not just the ones with a high I.Q.

Administrators must identify with the occupational programs just as squarely as they identify with academic programs. Scholarships, awards, and recognition should follow superior performance in automotive technology just as readily as it does superior performance in political science or chemistry. Faculty must first of all believe in comprehensiveness, and then work professionally for its realization. "Good teaching" is a boast of the junior college, and sometimes it actually is observed. Bright students can learn even with poor teaching, but slow learners must have good teaching. The comprehensive community college makes special demands on faculty--to plan new course content, to teach in more effective ways, to motivate students to be over-achievers, to recognize worth and dignity in all kinds and levels of work, to strive constantly for quality within diversity.

Public junior colleges have became identified with the term "open door" in many states. It should be emphasized that the term applies to admission to the college rather than to entrance to a specific curriculum or course. The open door has many "closed door" curriculums. Junior colleges, in order to produce competent graduates from occupational programs, will set end-product standards for completion of their courses and curriculums. These end-product standards are set partly by the demands of the general education core, and partly by the job demands of the occupation for which the curriculum is designed. The end-product standards will, to some extent at least, dictate the entry standards into courses and curriculums, since there are obvious limits to what can be accomplished in a two-year program. Some students whose preparation is lacking may have to spend a semester or year in remedial courses; others, perhaps lacking both native ability and prior preparation, may have to settle for a program which by its very nature is less demanding. Since open door community colleges attract students from such a wide range of ability (I.Q.'s from 85 up to near genius level) and interests, it is essential that there be available a wide range of courses and curriculums, lest the "open door" become a "revolving door" for many students. There must be several "levels" of English, mathematics, physics, social studies and humanities courses, so that general education can be offered to all students with some chance of success. Also, there should be different levels of occupational curriculums, designed to suit job needs and student abilities. For example, there are two well-defined levels for technicians--engineering technology and industrial technology. The office occupations field is another good example, with a secretarial program at a rigorous level and a clerk-typist program at a less demanding level. And, in the field of nursing, the associate degree (registered nurse) program demands students of rather high capabilities, while the licensed practical nurse program is only one year in length and is considerably

less rigorous. Many such examples could be cited, but these are sufficient to make the point. If public junior colleges are to fulfill the promise of post-high school education for all who can profit from it, the program must include offerings which will suit the interests and the capabilities of a large percentage of high school graduates.

How can the concept of quality within diversity be attained? Only through a carefully planned and professionally staffed guidance program.

Guidance--the key to the open door. A suggested guidance program will be illustrated by Chart II.* Note that several very important steps (some of them to be taken in the high school) must precede educational advisement and actual registration in courses. Students judged to be fully qualified for a particular program may be enrolled at once in a transfer program, or a collegiate-technical program or a general education program. Students with critical deficiencies may be placed in a developmental program, where some will succeed and move on into a regular college program, and others will convince themselves that college work is outside their interests or beyond their abilities. Some students may decide, for economic reasons, to attend college in the evening program, leaving days free for the work to support a family or to save up money for later full time study. A testing, interview, counseling, and orientation program like the one diagramed is a major undertaking. It costs money, but it may very well be the wisest investment the college makes. Experience has shown that a counselor-to-student ratio of about 1:250 is required to carry out the kind of guidance program here envisioned. The paths of student flow on the chart indicate how students may move from one career or educational objective to another, as scholastic achievement and interests may dictate. The open door is an invitation to succeed, and the guidance program helps make a reality out of what otherwise might be hollow mockery.

VII COLLEGE FOR WHAT?

Higher education for the seventies and beyond must respond to change. It must be recast in form and altered in substance so that, in two-year colleges at least, it includes both academic and technical-vocational education. The day when higher education was a cult for the few is done. Higher education today, in the context of the late 60's, is a means of preparing for life's work, and not a means of getting out of work for life! As we plan anew for the permanency of change, we who are interested in the two-year college and its service to the great masses of middle-level youth, must learn to deal with all of the following characteristics of this era:

1. The explosion of technology and science, doubling our knowledge every decade.

2. The increasing complexity of life in all its facets--economic, cultural, societal, and intellectual.

3. The impact of automation on jobs and on men.

4. The fact that lack of education, not education itself, is today's preparation for leisure.

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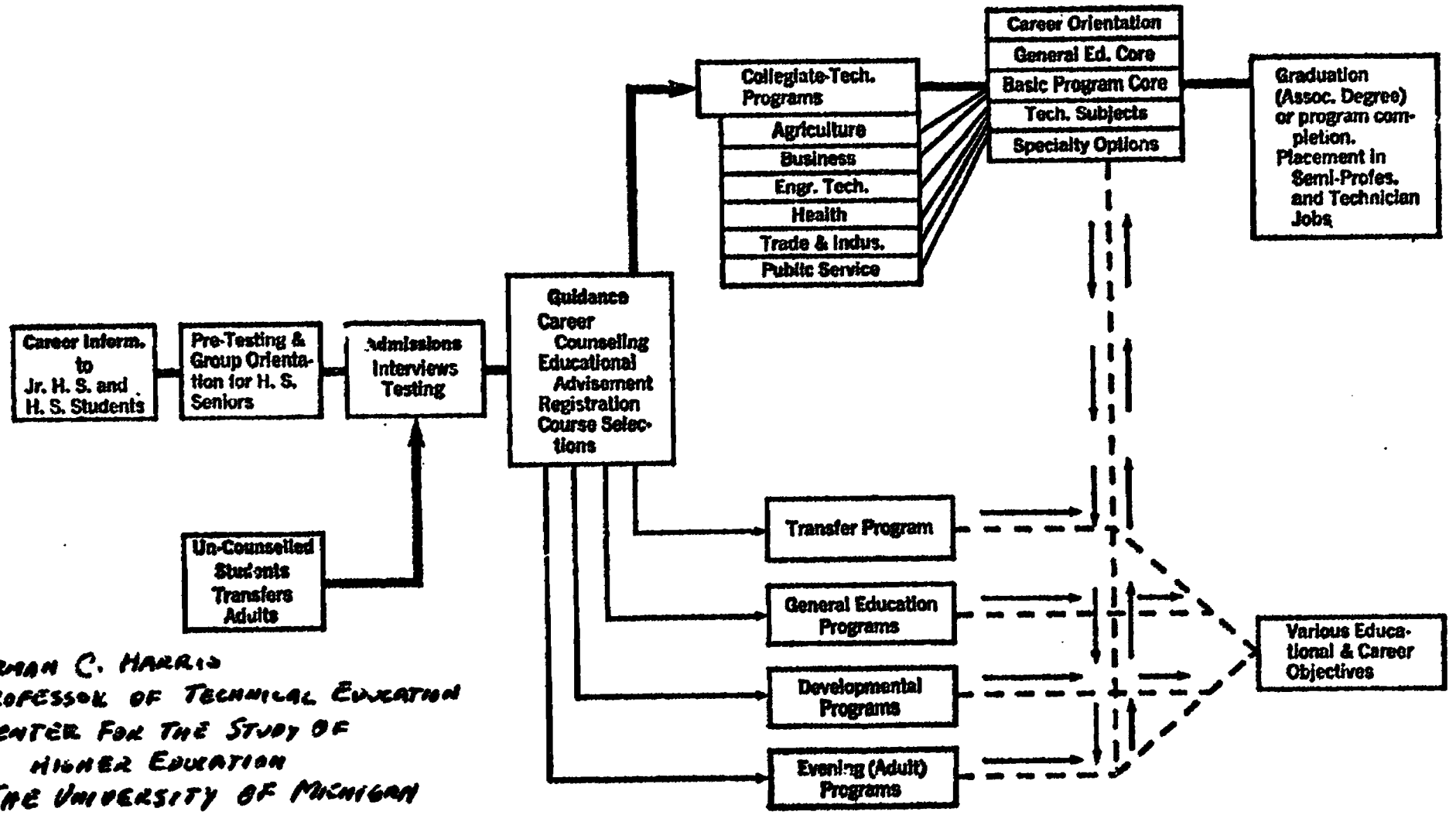
*Also from Emphasis: Occupational Education in the Two-Year College, op. cit.

CHART II

Flow Chart — Suggested Guidance Program Comprehensive Community College



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5. The sober truth that most occupational education for the future will have to be conducted at post-high school levels.

6. The urgent need in our society for millions of well-informed and adequately trained citizens--people who can both think and work--and the disappearance of a bi-polar society in which an educated elite did all the thinking and the uneducated masses did all the work.

The two-year college is uniquely suited to the tasks implicit in this list of current problems. It must be emphasized that the two-year college enrolls many very able, even superior students, but its central thrust is the education and training of average youth. Middle-level youth outnumber superior youth by three-to-one, and it is high time that we stopped neglecting their educational needs. The public junior college is the institution which has accepted the challenge to provide, on one campus, in the same buildings, under one administration, with one faculty, both academic and occupational education matched to the interests and abilities of youth and adults. I commend this institution to you. If it is prospering in your state, admire it; if it is struggling, nurture it; and if it is non-existent, start it.

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HOW CAN STATES DEVELOP A GOOD PROGRAM-PLANNING BUDGETING SYSTEM (PPBS) FOR EDUCATION

by

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State governments are increasingly appraising the techniques of Program-Planning Budgeting Systems (PPBS) as a means of improving and upgrading their processes of rational decision-making. The magnitude of today's financial pressures and the threat of the states' ability to continue to serve a meaningful role in the federal system are obvious ingredients for a searching self-evaluation of their goals, objectives and programs, and for determination of the best distribution of their resources to accomplish them.

That education should be a concerned partner in this effort seems obvious. The major cause for the financial plight of states stems from the fast growing rate of expenditures for education. More than 40 per cent of all state and local governmental spending today is for educational purposes. Yet, the demands of our society for ever-expanded educational opportunities for all of our citizens suggests a quickening of the effort, not a slackening of it.

What is PPBS? A program-planning-budgeting system is a concept of managerial decision-making designed to aid in the better allocation of resources among alternative ways to achieve the purposes and responsibilities of government. The one- or two-year budget is, therefore, the interim financial allocation necessary to achieve the program operations designed to accomplish a longer range plan or goal. This interrelation is symbolized by the hyphenation of the title itself.

The growing appeal for utilizing PPB-type techniques aimed at improving resource allocation results from a recognition of the basic underlying economic principles PPB purports to evaluate and elucidate. Namely:

(1) There are never enough resources (material and manpower) to do everything.

(2) Spending money for one thing demands that you forego the spending of that money for something else.

(3) The cost of an item, and the value received for that cost are inseparable considerations.

(4) Getting the most value for a given cost is efficiency.

(5) Accomplishing a given goal for the least possible cost is economy.

At the outset, I should make it absolutely clear that a total PPB System for education, or for transportation or natural resources or for any other major state program does not today exist. We have not yet developed a total methodology embodying all its concepts which can be quickly adopted and instituted in any given state. Rather, we have evolved a conceptual framework onto which much development, experimentation, refinement and just plain trial-and-error

remains to be done. But since we can recognize basic weaknesses in our governmental decision-making and managerial processes today, it follows that we should seriously consider support of rational efforts to develop modernized tools by which to improve them!

Each of the partners necessary to a successful PPB System tends to bring traditional prejudices and weaknesses which, without concerted efforts to correct, can quickly jeopardize the entire undertaking and negate the development of a "good" system.

* Educational administrators have often failed to develop clear and concise objectives with alternative methods (and costs) to accomplish them--while stubbornly insisting that the right and responsibility to do so belongs exclusively with them.

* State budget offices have tended to be inflexible, accounting-oriented, burdened with red-tape type procedures, and poorly staffed. Conversely, some have developed strong analysis staffs which have inhibited the free flow of agency recommendations and proposals.

* Governors have often neglected or under-rated their role in governmental managerial leadership with the result that top administrative attention to planning, setting of goals, evaluating accomplishments and challenging program purposes and methodologies has been lacking and under-developed among executive agencies.

* Legislators have often lacked the desire to grapple with the major policy issues in government and to bring to them a concerned and informed sophistication for meaningful decision-making.

Happily, the concepts of PPBS provide the wherewithal, both philosophically and mechanically to redirect past weaknesses so that rational and more scientific decision-making (i.e. the determination of the appropriate ...e of investment of the state's resources among its various programs) can result. The means are subject to critique and modification, but the desirability of the ends are irrefutable.

Wisconsin's Development of a PPBS Framework

During the past eight years, Wisconsin has evolved a management and policy decision-making framework into which the further evolution and development of PPBS techniques will become a reality. Though I do not suggest that the pattern of one state will necessarily fit the traditions, political environment or total needs of another, I do believe the Wisconsin pattern suggests the broad range of ingredients necessary for the development of a good PPB System. Consequently, I will describe them in some detail.

The birth of Wisconsin's current day management and policy decision-making procedures occurred in 1959 when a bi-partisan legislature created a consolidated Department of Administration. Embodied in its statutory mandate are such directives as:

> "present clearly defined alternatives and objectives of state programs and policies so that the state's agencies, the governor and legislature may plan cooperatively and finance the services which the state will provide for its citizens"
>
> "help the state's agencies furnish the agreed upon services as efficiently and effectively as possible"
>
> "assure the governor and the legislature that the services are being provided to the public at the agreed upon quantity, quality and cost"
>
> "anticipate and resolve administrative and financial problems faced by the agencies, governor and legislature of the state"

Concurrent with the establishment of the Department of Administration, a comprehensive state planning agency was created. In 1961, Wisconsin became one of the first states in the nation to embark on a comprehensive state planning process. The first phase of the comprehensive state plan was completed in 1963--providing an overall framework of comprehensive planning data and planning techniques in which specific plans could be prepared. The second phase of the comprehensive plan is now nearing completion, and specific long-range plans have been prepared, such as a freeway plan for 1990, a correctional facilities plan, a health and medical facilities plan, a library facilities plan, an airport system plan, an outdoor recreation resources plan, a state office facilities plan, economic plans for 8 state regional areas, and many other related planning documents.

In 1963, with full gubernatorial and legislative support, and complete bi-partisan support, Wisconsin embarked on the mammoth task of developing a comprehensive program budgeting process for all state government activities and agencies. Its concept was to create a budgeting process that would enable governors and legislators to focus their decisions on the basic purposes and objectives of government, the services that would be performed and the programs that would be carried out.

The fruits of this program budgeting effort were realized in 1965, as the state's budget--framed in a program budget format--was considered and enacted by the governor and the legislature. For the first time, Wisconsin focused its appropriations and allocated its resources in a form that concentrated on the objectives of the state and the services that were to be provided.

Now that program budgeting was a reality, Wisconsin moved to build upon the decision-making base that program budgeting provided. In 1965, a program planning component was created in the Department of Administration--to make full use of the program budget as a planning tool and to make planning an active contributor to the policy decision process.

Several months later a management sciences unit was added to the range of services in the Department of Administration. Resulting in large part from the recommendations of a businessmen task force studying state government operations, the purpose of this unit is to stimulate the use of modern scientific techniques in managing state government activities and in formulating major government decisions.

In 1965, the post audit function of the State was transferred to the jurisdiction of the legislature. In addition to the traditional fiscal transactions review responsibility, the state's post audit function now includes the responsibility for reviewing the performance and program accomplishments of the agency during the fiscal period for which the audit is being conducted to determine whether the agency carried out the policy of the legislature and the governor. With the capacity and willingness of a legislature to concentrate its efforts on major policy decisions, and their related fiscal dimensions, it likewise assumed responsibility for evaluating the degree of effectiveness with which the policies and objectives were being achieved.

The capacity for planning and coordinating the state's total efforts in post high school education was expanded considerably in 1965 with the creation of a separately staffed and financed Coordinating Committee for Higher Education. Organized with broad responsibilities for direction, planning and coordination of the state's system of higher education, it is specifically charged with the responsibility to present consolidated capital improvement proposals and consolidated operating budget requests for all state supported post high school education.

Several vitally important proposals are now under consideration by the legislature. If approved, and there is great likelihood that legislative action will be favorable in most areas, these proposals will mark yet another significant step in our effort to implement a comprehensive management and policy decision process. One proposal would comprehensively reorganize the structure of state government, reducing the number of state agencies from 90 to 26. Another proposal will create a Department of Local Affairs and Development, enabling the state to focus attention on the problems and potentials of its local governmental jurisdictions. A third proposal would integrate the central planning and budgeting process in state government, allowing policy makers to concentrate on one comprehensive decision-making instrument. Yet another proposal would direct all state agencies to develop a program planning capability within themselves, and would provide help with the financial resources to do so.

The Challenges Ahead

Wisconsin's effort at improving our management and policy decision processes has been marked with several characteristics:

1. It has been a continuing bi-partisan effort. During eight years of uninterruption the effort has been led by three governors of both political parties, and a legislature which has changed political complexion several times.

2. It has been a joint executive effort. An article authored jointly by a Democratic Governor and the Senate chairman of the Joint Committee on Finance (a Republican) stressed this: "The objectives of program budgeting -- to assist policy-makers more easily to weigh the alternatives available -- are in no way related to partisan ideologies or the relative balance of power between executive and legislature."[1]

3. It has been an agency supported effort. Though any effort involving massive change in budget formats and budgetary decision-making customs, can be expected to illicit caution, we have generally experienced support from agency administrators.

4. It has been supported by the general public. Press comment and editorials have been praiseworthy. A special group of businessmen studying Wisconsin government have reviewed and lauded the effort. Taxpayer groups have supported it publicly.

These are obvious factors necessary to any long-range total success. There are, however, more subtle challenges that will ultimately determine the development of a truly effective system.

1. The staffing capability to develop the system in its totality. The Carnegie Foundation reported last year that we simply do not have adequate manpower to meet the need for professionally trained personnel in state and local government. Consequently, we will need strong reliance on our educational institutions to train new people and retrain and upgrade existing staff.

The Governor of Wisconsin last year called on the University to help, by establishing an inter-disciplinary center for Public Policy and Administration. The current 1967 budget authorizations will assure its establishment. This center will produce a broad spectrum of professionally trained people for governmental service, will offer continuing education opportunities to upgrade and update the professional skills of those now in government, and will be a focal point through which the research skills and knowledge of the University may be introduced into studies of state problem areas.

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2. The Program Administrator's Attitude. The question of attitude relates strongly to the program administrators' overall assessment of the desirability and appropriateness of the real purpose of the PPB effort. I have no doubt that the competence of the educational community can be mustered, for example, to quantify outputs of educational services in relation to the investment of resources being made to finance them. Questions which I have repeatedly heard raised in the legislative halls relating to the values of research, the returns from a counselling program, the cost-benefit rationale of Headstart, the workload level of the teaching faculty, or the economic and social benefit of a college education itself are not outside the realm of measurement, evaluation and redirection, if redirection is indicated.

But the educator may be tempted to feel that these are not really matters for widespread political decision-making. He may reason that the safer and more realistic posture in the long run is to rely on a state of general public positivism for education which renders unnecessary the PPB demand for scientific program determination. Though PPB should not be confused with efforts to reduce public spending, (1) the educational administrator will be skeptical in the general belief that any effort at political enlightenment can too quickly result in political interference which will untimately erode his managerial responsibilities, if not his vast budgetary support.

The financial investment of the past ten years for education could, understandably, be used to support his beliefs. For it is apparent in many states that public support has met the pressures of expanded enrollments without permitting an erosion of quality. During the past ten-year period in Wisconsin expenditures for education have grown from slightly over 25 per cent of all state and local spending, to slightly under 50 per cent. Yet, realistically, education is only one of the competitors for the public tax dollar. The politician does not have the luxury of considering only education's needs to the exclusion of all other programs. And, increasingly, the politician is demonstrating that he does not believe he has the luxury of endorsing an endless rapid growth in governmental expenditures. Consequently, it is only logical that he will (in fact, already has) demand intensified justification from the source of greatest pressure-education. The degree to which education can respond with sophisticated PPB-type tools to aid decision making may well have a direct bearing on its future effective participation in the resource-distribution process.

3. The Use of the PPB Tool. The ultimate success of PPBS will depend on the sophistication with which the decision-maker uses it as a valuable tool to aid him in his responsibilities. For it is not without its pitfalls, particularly from the standpoint of the legislator.

It takes from him the comfort of cutting budgets without full understanding of the resulting program consequences. It requires a willingness to frame budget decisions in their broad policy context and forego detailed administrative-level decision making. It enables pressure groups to focus on clearly defined goals and objectives thereby encouraging the same electorate who traditionally demands lower taxes to also demand better services. It utilizes program analysis techniques with their emphasis on cost benefit which

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(1) Merry and Cotton "Program Planning for State, County, City."

may indicate courses of action not always in accord with his self-serving political desires. Conversely, such techniques may unduly thwart his perogatives of independent and individual assessment.

Perhaps most significantly, it requires legislators to consider aspects of governmental program development and planning which far transcend the time-period of their next election. The conscientious administrator who cares the details of a proposed long-range solution to a major social problem (and its associated costs) will revert quickly to step-at-a-time budgeting, if he consistently experiences legislative inability to grapple responsibly with the longer range implications.

Specific Illustrations.

Wisconsin's relatively short experimentation with PPBS has already produced examples of its potential. None of the following illustrations is an example of its application in totality, but each has ingredients of the overall concepts.

Wisconsin is currently embarking on a dramatic revamping of our patterns of post-high school vocational education. The approach used for determining the means of shifting emphasis has been basically that of PPBS.

1. To define the needs and the present capacity to serve them;

2. To reach agreement as to the desirable outputs, particularly the educational values to be achieved; and

3. To appraise realistically the costs necessary to achieve the values and bring these costs within the capacity of our resources to provide for the accomplishment of them.

One proposed value states: vocational educational opportunities should provide the student with the ability financially to sustain himself and his family after completing the initial learning experience. The value--sustaining oneself--is universal both to the individual and society. Acceptance of this value implies that we have reached agreement on desirable outputs and that recognition has been given to societal need. Analysis follows this agreement by ascertaining the cost necessary to achieve the value, particularly in a framework of our state's resources. Elements which will determine costs are derived from criteria which in turn will evaluate the relative ability to achieve the goal when considered in the fiscal support context. In this example, relative ingredients include level of state aids, special salary incentive programs and the local taxing capacity as determined by area district boundaries.

A second example relates to Wisconsin's long range concern for medical education. Upon determination of a serious need for more space, the medical school at the University of Wisconsin requested funds to move its entire facility to a new location. The request was directed to the state's building commission comprised of the Governor and bi-partisan legislators. In the past the decision to move or not would very likely have been influenced almost entirely by the massive price tag attached. Today, decision-makers are no longer satisfied with this criterion alone. Rather, the Governor has called for a complete evaluation of the total medical education requirements of the state and a plan outlining steps necessary to accomplish them. The effort is being staffed jointly by representatives of the Coordinating Committee for Higher Education, the University of Wisconsin, the state's private medical school and the state's budget-planning office. Once the needs are determined and alternate methods and costs of meeting the needs are framed, the state's decision makers will have meaningful tools with which to assess the best investment of the state's resources to accomplish the state's objective (i.e. to provide for the training of sufficient medical personnel to serve the state's health requirements.)

A third example relates to Wisconsin's recent decision to establish two new major university campuses in the more populated areas of the state. To a limited extent some PPB techniques were utilized in selecting specific sites for the campuses. Criteria for site selection first addressed itself to the program objectives of the new campuses. The major objectives were set forth, and then specific criteria of student potential, transportation, site characteristics were designed so as to implement the major aims of the institutions.

After the sites for the new University campuses were selected, the university prepared comprehensive program plans for the expected future development of the new educational institutions. The program plans outlined the sought-for educational objectives and educational characteristics of the new campuses. Specific educational programs, numbers of students, numbers of faculty, type of student, and overall nature of the mission were carefully delineated in the program plans. These became the base for the development of a long-range campus master plan that would promote the achievement of the educational objectives. Nationally known campus planners were then engaged to develop the campus master plan.

State policy dictated the rapid implementation and completion of the new campuses. In order to satisfy both a very tight construction schedule and the need to develop facilities that would complement long-range educational objectives, PERT systems are being employed. Each facet of campus development is identified and scheduled. All contributing parties to the process (the university, the state's engineering and architectural office, the management sciences unit, and the state's building commission) joined the PERT development so that clearcut communication could be achieved and decisions necessitated could be handed down with rapidity and clarity to all concerned.

Certainly these are major problems of a broad scope which a legislature may not face every year. The legislature does face, however, a yearly allocation of resources for the accomplishment on on-going programs.

In the past, the budget submitted by the state's educational institutions permitted decision making in form -- consideration of the numbers of books purchased, teacher-pupil ratios, the proposed purchase of laboratory equipment and classroom supplies and the number of cleaning staff and yardkeepers. Examination that did take place did so without reference to a framework of output objectives. In contrast, today's requests are set in broad program terms -- teaching the underclassman, financial assistance to students, continuing education for adults, research for industrial application -- substantive matters for the decision makers. In this framework, costs of administration, physical plant, libraries, and registration offices become identified as ingredients to program ends -- not ends in themselves.

PPBS for Your State?

Basic to the effort to develop a PPBS framework in your state is an affirmative answer to the question: does PPBS serve your essential governmental needs? The affirmative answer to that query is an inevitable consequence of answers to six other questions.

One-do present budgetary and appropriation procedures deal in terms of long-range goals and objectives? In such a context, budgets become the expression of an interim plan for accomplishing long-range goals. What this means to the decision-maker is that he is able to see beyond a specific budgetary period, to view the program as it will unfold and to provide a method by which he can guide its long-range development. It permits the elected representative to assume policy-making initiative.

Two-are budgetary decisions made as broad policy decisions, choosing among carefully delineated and evaluated alternatives? Stated another way, are policy makers (be they school boards, boards of regents, coordinating committees, governors or legislators) examining details with inevitable and frustrating futility or are they weighing alternatives and making basic educational policy decisions?

Three-are the outputs of educational programs identified in terms of cost-benefit ratios and related to the major objectives which our educational programs are designed to achieve? Are we able to measure the success of programs before we pledge ourselves to continue with them? Can we determine the degree to which these programs have fulfilled the stated needs which they were, are and will be directed? Can we identify where the lack of investment is negating what would otherwise be a more meaningful output?

Four-are program accomplishments identified in a context which assures accountability? PPBS provides the opportunity for developing tools of measurement to assure that program execution is in accord with the directions and policy decisions of the decision makers.

Five-is information reported in a manner that encourages the effective management of programs? The gathering and reporting of pertinent date to support budgetary requests becomes grist for the management mill. The information which enables management to more effectively execute its responsibility.

Six-does the budget process display a meaningfull planning capacity? Programs should reflect an orderly development toward an end, with specific steps along the way. This development must be at once realistic, in the sense that it is tied to available and potential resources, and logical, in the sense that there is an orderly progression to the end sought. Planning, then, becomes both a response to PPBS and an integral part of the process itself.

Assuming that the answers to these questions have been negative, then I would suggest the answer to the question: do you need PPBS? is "yes."

Suggestions for Action

The conceptual development of PPBS is complete enough for serious experimentation among the states -- and already several states are well underway. A plan of action for the orderly development of PPBS would appropriately include the following ingredients:

1. Orientation. Every effort should be made to examine the concepts as thoroughly as possible, with particular emphasis on their local application. This could be accomplished by a Governor's Conference (as was held in Michigan) a special legislative interim study committee (as was organized in Wisconsin) a joint university-government official study team or by preparing a series of descriptive memoranda for widespread distribution.

2. Training. Skilled and knowledgable people in the field are scarce. Consequently, effort at training should be undertaken quickly. These could be organized by University extension division, state training bureaus, or private consulting firms. Several regional and national training programs also are being developed which are inviting participation from interested states.

3. Investment. An investment of state resources will be necessary to undertake the effort. In Wisconsin considerable in-house staff time has been devoted to the development, private consultants have been retained by several of the larger agencies, special state appropriations have been enacted to encourage planning development capacity, and matching funds have been provided to help secure outside grants. State-matched federal grants are currently available from several federal agencies and new grants are proposed in such legislation as Senate bills 430 and 467 now pending before the Congress.

4. Organization. The need to change organizational relationship of existing state functions may be necessary to achieve a coordinated framework. State budget and planning agencies should be closely aligned. State agencies will need to develop central planning and analysis staff functions. More open lines of communication between staff and operating agencies will be required. (This will be particularly true as related to educational agencies, since quite often communications here are least developed.) Legislative staff functions may

appropriately be organized to include post-review determination of program compliance with policy direction.

5. Implementation. Once determined and charted, the resolve for implementation will necessitate the joint endeavors of governors, legislators, and agency administrators. Though many of the facets of PPBS have previously been utilized in governmental management and decision making, their restructuring in the PPB framework will necessitate massive change which can easily encounter political and bureaucratic resistance.

Statutory authorization may be necessary or desirable. Though Wisconsin's initial advent into program budgeting was accomplished by minor statutory revision, we are now considering a major recodification of our law to encompass the broader PPB concepts.

Our experience with PPBS has shown that we have only begun to realize the far reaching impact it can provide in the modernization and improvement of state government. It can be a vital force in democratic government. In this I see a challenge which we can decline only at the peril of wrong roles, wrong decisions and wrong results.