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ABSTRACT

This document is concerned with the ways in which the planning done by universities, singly or together, interacts and might better interact with the planning done by governments or their agencies. This document attempts to focus attention on process as a prior condition to planning that leads to efficient action. The first chapter summarizes the basis on which the study has been undertaken, guidelines offered, and conclusions reached. The second chapter describes briefly the structure of interface between universities and governments at the federal level and in each provincial jurisdiction as it exists today and as it has developed in recent years. Chapter three sets out views on planning and descriptions of who is involved in it. Chapter four deals with the difficult matter of basic assumptions and values. Chapter five postulates the major outcomes of long-term planning--an agreed definition for each university of its particular role. Chapter six examines consultative planning with particular emphasis on the important concepts of autonomy and public accountability. The final chapter recapitulates the guidelines and conclusions offered for consideration by both universities and governments. (Author/KE)

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## PLANNING FOR PLANNING

Relationships between universities and governments: guidelines to process

*a study prepared  
for the Association of Universities  
and Colleges of Canada by its Advisory  
Committee on University Planning*

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Director of Research

with a foreword by  
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Translated by Albert Beaudet



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## FOREWORD

Some years ago the Board of Directors of the Association of Universities and Colleges of Canada appointed an Advisory Committee on University Planning. In 1973 the Committee determined to undertake a study of the planning interface between universities and governments. Bernard Trotter, Head, Office of Academic Planning, Queen's University, and a member of this Committee, accepted an invitation to be Director of Research, and I, as President of the Association of Universities and Colleges of Canada at that time, agreed to function as Chairman of the Committee for the duration of the study. Stefan Dupré, then Chairman of the Department of Political Economy at the University of Toronto, was retained as academic consultant to the Committee until his appointment in June, 1974, as Chairman-designate of the Ontario Council of University Affairs. In the course of the study, Mr. Trotter, on behalf of the Committee, obtained information and advice from many government and university people across the country. In the course of his labours he was assisted by individual members of the Committee, particularly in preparing the descriptive section on government-university relationships in the various provinces.

The study was supported by a grant from the Ford Foundation, which allowed the project to proceed to completion and publication. As past-President of the Association of Universities and Colleges of Canada I wish to record the thanks of the Association for the tangible help and for the encouragement which it gave to the Committee.

The substance of the study is reflected in the guidelines, which the Committee members endorse. The text itself is the work of Mr. Trotter, with such assistance as he sought and as it was reviewed from time to time in draft by the Committee. The whole is the product of numerous meetings of the Committee and the labours of individuals referred to herein.

The report is tendered as a constructive contribution to the medium and long term rationalization of relationships between universities and governments in the area of planning, in the hope that the report may help to build a sense of mutual confidence necessary to the planning, in its broadest sense, of educational institutions to serve the foreseeable needs of the peoples of Canada.

A.W.R. Carrothers

October 1974

## P R E F A C E

I am grateful to the members of the AUCC Advisory Committee on University Planning who have individually and collectively put a great deal of time into developing the proposals which led to this study as well as into its preparation. In view of their generous indulgence in leaving final editorial judgment in my hands, it is only fair that I accept full responsibility for infelicities of expression or emphasis and for errors and omissions of fact which the reader may detect. As the Committee's Chairman has made clear in his foreword, the substance of the study is to be found in the guidelines. On these, the Committee as a whole is agreed in general and in detail.

To those in universities and governments across the country who were kind enough to provide information, advice, and often hospitality as well, the Committee wishes to offer its acknowledgement and thanks. In addition to members of the Committee, a number of persons have read the manuscript in various stages of its preparation, some more than once. We are indebted for their constructive help.

I am grateful to the Board and officers of the AUCC and to the Ford Foundation for the opportunity to work on this study and to Queen's University for the housekeeping arrangements which allowed me to accept. Special thanks are due to Mario Cret of the Office of Academic Planning at Queen's who played a major part in conceptualizing the diagrams and contributed as well in many other ways.

Bernard Trotter

Kingston, Ontario  
October 1974

## Introduction

The great expansion of student enrolments and the even greater relative increase in operating expenditures of universities in the 1960's, prompted nearly every provincial jurisdiction in Canada to change its arrangements for ordering university affairs. Simultaneously, at the federal level review of organization for the funding of research produced other institutional changes having a direct effect on universities. During the same recent period universities acting singly or in concert, have put increased effort and resources into planning activities.

All these changes have occurred in a climate of increasing uncertainty, frustration and, in some cases, distrust. The reason is not far to seek. There is now little consensus about what universities should be and what purposes they should serve. The expansion of the 60's was based on a clear-cut, unambiguous goal — to provide enough places at Canadian universities for the hordes of eighteen year old post-war babies emerging from the high schools after 1963. Governments and universities would provide the necessary funds. Universities would provide the required educational opportunities.

As costs mounted, ways were sought of applying the brakes without giving up the goal. Needs for other kinds of post-secondary education became apparent. There was a growing demand from adults for all kinds of education, including work leading to a university degree. At the same time there was mounting skepticism about the economic and social value of university education for the large number enrolled.

Changes in structure alone cannot be expected to resolve these uncertainties about goals unless there is a new emphasis on continuing processes for long term planning. Universities cannot be effective or accountable unless their goals and objectives are understood by themselves and by the public which supports them through government grants. Neither universities nor governments can by themselves satisfactorily resolve the fundamental problem of goals. The search for such a resolution must be the first item on the planning agenda for both universities and governments.

In this study we are concerned with the ways in which the planning done by universities, singly or together, interacts and might better interact with the planning



done by governments or their agencies. As we enter a new era in university affairs in Canada, it is our hope that this brief study will help to focus attention on process as a prior condition to planning which leads to effective and efficient action. We have sought no grand design, but we suggest steps designed to reduce substantially the sense of frustration and futility observable among those in universities and governments who are trying to take thought for the morrow with care and reason.

The first chapter summarizes the basis on which the study has been undertaken, guidelines offered and conclusions reached.

The second chapter describes briefly the structure of the interface between universities and governments at the federal level and in each provincial jurisdiction as it exists today and as it has developed in recent years. In this context planning experience and points of view pertinent to the theme of the study are introduced. Chapter III sets out our views on planning and who is involved in it; the kind of planning we think fundamental involves consideration of the why as well as the what and the how. Chapter IV deals with the difficult matter of basic assumptions and values.

In Chapter V we postulate the major outcome of long term planning: an agreed definition for each university of its particular role differentiated not only from its sister universities but also from those other institutions which serve society in similar or complementary ways. Chapter VI examines consultative planning with particular emphasis on the important concepts of autonomy and public accountability. In the final chapter, we recapitulate the guidelines and conclusions offered for consideration by both universities and governments as they develop further formal and informal arrangements for the discharge of their mutual obligations to the present and future society. We believe that more systematic and satisfactory processes of consultative planning can evolve from present arrangements in each province and with the federal government. This study is offered as a contribution to that constructive evolution.

## Background and Summary of Guidelines and Conclusions

### *Terms of Reference*

In the spring of 1973, after informal consultation with a number of interested and qualified persons representative of those in governments and in the community at large with a special concern for public policy relating to universities, the AUCC Board of Directors asked their Advisory Committee on University Planning to undertake a study

to assess the processes of planning long term development of universities in Canada with special attention to the interaction of institutional, provincial, regional and national authorities.\*

In preparing an application to the Ford Foundation for support of the project, the Advisory Committee stated the purpose as follows:

to develop and publish practical guidelines in order to assist governments and universities to develop and improve constructive and stable processes for the effective long term planning of Canadian universities.

The main objective, method and intended outcome of the study were further summarized as follows:

#### Main Objective

To ensure

- 1) that universities and government agencies, as they plan for the longer future of higher education and attempt to respond to the changing needs of the Canadian society, can test their intentions with one another in an orderly and efficient way against the long term goals of public policy as these are defined and interpreted by political leadership in the provinces and in the federal government.

\* Report on the AUCC Workshop on University/Government Planning interface. Ottawa. March 30-31, 1973, p. 11.

2) that this be accomplished through processes which permit interaction between the planning of universities and government agencies on a continuing basis of mutual respect and confidence by systematic exploration of fundamental assumptions and alternative ways of working towards long term goals.

### Method and Outcome

By means of review of formal structures and informal interviews with senior officials in universities, in provincial and federal governments and their agencies, to develop and publish practical guidelines which may assist governments and universities to develop and improve constructive and stable processes for the effective long term planning of Canadian universities. The Advisory Committee intends to produce a useful working document . . . and has therefore decided that its "fact-finding" should be selective, its range of consultation wide (but not totally comprehensive) and its final report brief. The aim is to publish a report in both official languages by the end of 1974.

### *Problems at the interface*

There would be no need for this study if a number of conditions were already satisfactorily met. The terms of reference and objectives of the study arose from the belief that "no factor would bear more crucially on university planning for the coming decade than the existence (or lack) of well defined and systematic processes for exchanging information and examining basic assumptions with governments"<sup>1</sup> On this basis, the AUCC Board of Directors authorized a study that would focus attention on the need for long range thinking about planning for universities and which would encourage active consideration of possible improvements in processes within each jurisdiction. Implicitly, the study began from the premise that the planning process itself requires planning.

### *The need for long-term planning*

The recent Royal Commission on Education, Public Services and Provincial-Municipal Relations in Nova Scotia reinforces the view that universities and governments need closer and more effective planning relationships.

"An important factor in university development that is too often ignored is the university's capacity for planning and development. Planning and development, in turn, go hand in hand with accountability. By development we do not mean expansion of programmes and facilities, although expansion might at times be necessary and desirable. Rather, we mean development in the sense of improvements designed to bring the university closer to achieving its pur-

<sup>1</sup> AUCC Advisory Committee on University Planning, Report to the Board of Directors of the AUCC, January 1973.

poses, by way of a rational relating of programmes and facilities to the university's purposes, making whatever adjustments from time to time are necessary to ensure that these purposes are achieved as effectively as possible with the resources available.

Sound development requires careful planning, which means the clear definition of purposes, anticipation of what is required to achieve them, and a well thought-out scheme of action for using available resources to achieve the purposes as fully as possible. Careful planning is therefore necessary to ensure that universities are clear about their purposes and functions, and to ensure that the resources made available to them are used as effectively and economically as possible to achieve those purposes and perform those functions. Only then can there be a rational basis for consultation between the universities and the government, for reconciling differences in view, and for ensuring that public funds are used responsibly for their intended purposes. Otherwise, the universities may be subject to directives that are not in their, or the public's interest but that the government finds itself forced to employ in the absence of adequate knowledge about the universities and their essential purposes and functions, and thus without a basis for ensuring their accountability.

The government, in addition to its own advisors, needs the best thinking of the universities if it is to formulate and implement policies that will most effectively assist their development.

Consultation between government and the universities relevant to provincial policies with respect to universities does not limit a university's scope and academic freedom. It is likely to broaden them. When the reasons why a university needs considerable scope and must have academic freedom have to be expressed and clarified, the basis for defending these vital aspects of a university becomes all the stronger. Expression and clarification of the university's purposes and the means required to achieve them would also add to support for the university from outside the university, where some of the staunchest supporters of the university are already to be found. A university, of all institutions, should be able to explain itself clearly, intelligently and articulately. Its responsibility to do so is no burden, since it is in the best interests of both the university and the public. Indeed, the public interest is the university's own interest.

The government cannot hold the universities accountable unless it knows why it is supporting them. The public cannot hold the government accountable for the use of the public funds devoted to universities unless there are criteria for evaluation. Neither the public nor the government are likely to be able to formulate fair

and effective criteria for accountability without the assistance of the universities."<sup>1</sup>

### *What is now Lacking?*

As the Nova Scotia Report emphasizes, there is a lack of criteria by which universities are to be held accountable. There is a lack of agreed goals and purposes. This lack results from other lacks; lack of communication and information and lack of trust and confidence among those in universities and governments who must reach agreement on purposes and goals. But perhaps even more fundamental has been a lack of urgency about the need to take a longer view, to examine fundamentals. The excuse for such neglect of long term planning has always been readily at hand — the mighty pressures of day to day exigency. There is never any time to plan. There is, moreover, extensive distrust of long term planning both in governments and in universities. It is perceived, not as a means of gaining greater freedom and flexibility in meeting the needs of the future, but as a constraining and limiting force which attempts to "settle" prematurely matters which are much better left to fall into place in the ripeness of time. We shall address each of these lacks in the course of the discussion which follows. We take pains to make clear our view that long term planning is a liberating activity and not a constraining one. It is not a means of moulding the future to a rigid pattern, but rather a means of making necessary adjustments in ends as well as means in an orderly way with as little disruption as possible.

Present problems do not derive only from lack of agreed goals and purposes of universities. Because a process for long term planning is lacking, there is no agreement about the different planning responsibilities of universities and governments and how these should be made to mesh. This confusion, combined with sudden and arbitrary shifts of government policy and the sometimes ill considered actions of universities, stands in the way of mutual confidence on which real progress toward mutual understanding of goals and purposes depends. To some extent, therefore, universities and governments are caught in a vicious circle of cause and effect. The purpose of this report and its guidelines is to suggest ways of breaking out of this circle. This is mainly a matter of process, not structure. Nevertheless, structure provides the context within which long term processes must be developed. We must therefore consider whether structures to any degree affect the possibility of effective long term planning of the sort we describe. We review actual structures and their relevance to planning in the next chapter. Here, as background for the summary of guidelines and conclusions, we confine ourselves to a brief analysis of the structural elements present in our university systems.

### *System and structure*

In the Plaunt lectures given at Carleton University in February, 1967, Kenneth Hare asserted

"... we have got to admit, grudgingly or not, that the universities

<sup>1</sup> Report of Royal Commission on Education, Public Services and Provincial Municipal Relations in Nova Scotia, Halifax, 1974. Volume I. Summary of Chapters 61-65, pp. 11-13.

in a modern country form a system. They are not isolated individuals, able to go their own way without bothering about what their neighbours are doing. They together constitute a single system, meeting a single public need."<sup>1</sup>

This is no longer a matter of controversy. All universities in Canada now recognize that they are part of a provincial or regional system and are prepared to deal on that basis with the provincial governments through which they get a substantial part of their operating funds and through which federal financial support is funnelled. Hare went on to note that it was characteristic of English speaking countries to establish buffer bodies to deal with university affairs on behalf of government in preference to direct governmental bureaucratic control of the detail of university administration on the French or German model.<sup>2</sup> He also drew attention to the need for universities in a system to "learn to speak with a common voice"<sup>3</sup> as dependence on public funds has increased.

#### *The buffer or intermediary agency*

In systems of government which depend, as in Canada, upon the concept of ministerial responsibility and the collective responsibility of the cabinet, the buffer becomes a device for removing from ministerial control (and therefore ministerial responsibility) matters which it is thought best in the public interest to put beyond the reach of day to day politics. The buffer device has been widely used in Canada both federally and provincially in establishing marketing boards, regulatory agencies, crown enterprises and public corporations such as the CBC and the Canada Development Corporation. Such buffer agencies and corporations established by parliament are responsible to the legislature through ministers, but a minister is not directly answerable in the legislature for the detailed operational decisions of such agencies as he is for the government department he heads:

Although there is no clear disposition in Canada to control university budgets on a line by line basis, the buffer device is not now fully applied in university affairs, except at the federal level. Such bodies as the National Research Council, the Medical Research Council and the Canada Council, are full buffers in the sense that they exercise executive as well as advisory powers.<sup>4</sup> At the provincial level intermediary bodies concerned with university affairs are for the most part established to advise governments. In some cases they have been delegated limited executive responsibilities. As noted in the next chapter, the mix of advisory and executive powers has

<sup>1</sup> Kenneth Hare *On University Freedom in the Canadian Context*. Toronto 1968, Pages 20-21.

<sup>2</sup> Op. cit. pp. 18-19.

<sup>3</sup> Op. cit. p. 4.

<sup>4</sup> While NRC no longer exercises a comprehensive advisory role with respect to science policy, it continues to provide advice to government in relation to its important operational and executive responsibilities. There are differences in the structures, funding, and terms of reference of the Councils affecting their relationships with Ministerial Offices which do not, in our view, distinguish substantially their buffer roles. At the time of writing the restructuring of the Councils is under consideration.

- varied widely in practice as has the extent to which governments have acted on the advice given. As is also noted, the existence of an intermediary agency whatever its mix of executive and advisory powers, does not guarantee effective long term planning and the interface between such agencies and government itself, or even between these agencies and universities can occasionally be little more than a void.

### *The common university voice*

In the past decade, government established intermediary bodies have been tried in most provincial jurisdictions in Canada and now exist in all but two. During the same period, universities have found it necessary to create voluntary collectivities at the national, regional and provincial levels to assist with common problems and in dealing with governments on matters of day to day and year to year operating concern. Such collectivities play an important role at the interface between universities and governments at the federal level and in varying degree within a province. In the next chapter we look in more detail at their present and potential roles in the long term planning process.

In the guidelines to be summarized here and argued more fully as the study proceeds, we are also particularly concerned with the adequacy of the collective university voice in triangular planning relationships which involve universities, provincial governments, and the federal government (including its agencies) *vis a vis* policies affecting development within a single province or region as well as within Canada as a whole. It is possible to acknowledge with Hare that we have "a single system meeting a single public need," provided we also recognize the existence of provincial and regional systems. The latter are not sub-systems. They are co-existent with, rather than subordinate to, the national system. The relationships involved in constructive co-existence are complex and delicate and so particularly important

In sum, we have in Canada a number of co-existent systems most of which consist of four main elements:

1. individual universities
2. collectivities of universities
3. intermediary bodies established by governments
4. governments and government departments.

In the guidelines which follow we are suggesting responsibilities to be assumed by each of these "actors" if an effective long term planning process is to result. The nature of this process and its relationships to shorter term planning and operations are implicit in the summary guidelines, but are explored more fully as the study proceeds. The reader may find it easier to follow the more detailed discussion with this preview of the conclusions in mind.

## *SUMMARY OF GUIDELINES AND CONCLUSIONS*

- 1.1 *There should be within each provincial (or regional) jurisdiction an adequate long term planning process for the development of individual universities and the university system to ensure*

- a) *definition of role for the university system and for individual universities within the system on the basis of clearly stated goals and assumptions (including what is meant by autonomy and accountability).*
- b) *monitoring of the planning process itself including the interface with government at operational levels. Methods of continuous, systematic and close consultation among all parties involved, upon which the process depends should themselves command continuing attention.*

1.2 *The parties should be responsible for contributing to the process as follows:*

- a) *the university responsibility*
  - i) *each university should develop an internal capacity for long term planning in order to play an effective part at the interface with governments by itself and in partnership with other universities through the collectivities to which it belongs.*
  - ii) *each university should prepare and publish annually a working paper which, in its substantive parts (e.g. enrolment projections by program) requires approval by the senior academic governing body of the university and which also serves to alert the university community to external factors and areas of uncertainty which bear on the chosen role and goals of the university.*

Successful accountability for a university will depend on its capacity to plan - to articulate goals, to apply resources effectively and efficiently in pursuit of those goals and to demonstrate that this has been done. This capacity to plan will, in turn, depend on wide understanding within the university community. An individual member of faculty cannot remain indifferent to or ignorant of the planning process if he is to work in harmony with the goals of his university.

The recommended planning document should serve the following purposes.

- 1) to raise the level of consciousness about the importance of planning and the goals of the institution;
- 2) to sign-post problems and opportunities which should have the prior attention of the university community, and where appropriate to propose action which would contribute to this purpose, the planning document would draw attention to major areas of uncertainty and describe alternative ways of resolving them, the annual planning document is one of a continuing series of working papers intended to contribute to an ongoing process;
- 3) to record progress on matters reviewed previously together with assessment of decisions made and actions taken by government and by the university in cases where these have an impact on the developing role of the university;
- 4) to analyze the possible effect of external factors, apart from the actions and present policies of government, on the chosen role and goal of the university, and to indicate necessary modifications in plans.

The preparation of this document should be carried out under the authority of



the senior academic governing body of the university and should involve wide consultation, informal as well as formal, among major constituencies within the university community. Periodically, it should involve a detailed round of discussions with each academic department so that as many professors as possible can participate directly in discussion of long term goals and so that the Senate Committee (or other body) charged with preparing the annual planning document can become aware of the widely varying perspectives of those in various disciplines. Such detailed discussions proceeding from a carefully prepared analysis of present activities, strengths and weaknesses provide an excellent basis on which to begin a series of annual working documents of the kind suggested.<sup>1</sup>

The annual planning document of the individual university would, as indicated, take account of government policies, the plans of other universities, the perceived needs of the surrounding communities and other external factors. In some cases these factors would act as constraints, in other cases they would indicate areas in which development should be considered. In either case it is their immediate or potential effect on the developing role of the university which is important.

Thus, while *reflecting* the external environment, the annual university planning document also *contributes* to the planning of the system and is, as will be shown, both the beginning and the end of system planning.

#### 1.2 b. the university collectivity's responsibility

We have noted the need for individual universities in preparing their annual long term planning document to take into account the plans of other universities in jurisdictions where there are only a few universities such information can be exchanged on an informal basis, provided there is agreement on a timetable. In jurisdictions with a substantial number of universities, however, a central organization created by the universities themselves can play an important part, not only as a clearing house for information, but also as a processor of information. Centrally located staff can aggregate and analyse enrolment plans and relate them to information derived from other jurisdictions in Canada and otherwise provide staff services which it is unnecessary for each university to perform separately. Depending upon the wishes of its constituent members, a collectivity may itself establish planning machinery to assist universities in reconciling their individual plans where these appear to overlap or to be redundant. The potential role of the collectivity is flexible.

The extent of the planning role of the collectivity will depend not only on the wishes of its members, but also on the encouragement received from the government's intermediary body. Because we believe that the primary responsibility for planning should rest with universities and that the government role should concentrate on making adjustments where necessary in the public interest, we think univer-

<sup>1</sup> Such a series of documents has been published by Queen's University since 1969. *Academic Development at Queen's University Report #1* proceeded from a round of departmental discussions as described above. This experience indicates the range of specific planning issues which can be covered over a period of years e.g. housing, graduate work, admissions, staffing, all of which bear directly on the university perception of its role and its capacity to act on that perception.

sities should develop an active rather than a passive role for their collectivities. At the same time, however, it is important to remember that the relationships required for an adequate long term planning process are fragile. At the beginning, therefore, the roles of the individual universities, the collectivity and the intermediary body or government should be worked out in close consultation with one another. If a climate of mutual confidence is to be created, assumptions about who should do what at each stage must be agreed to at the start with the understanding that the assumptions are subject to reconsideration.

Based on these principles we suggest the following guidelines for the collectivity:

- 1.2 b. i) *the collectivity should play an advisory role in the long term planning process so far as the plans of its individual members are concerned;*
- ii) *the collectivity should prepare its own annual planning document which should include a summary and analysis of university enrolment projections and a synopsis of planning issues as they are perceived in the individual institutions with additional comment from a system-wide perspective; the document should report on such related long term planning activities as the collectivity has undertaken by agreement of its members and the intermediary body or the government department.*

Thus the minimum planning task of the collectivity should be to aggregate the enrolment projections of the individual universities and to offer its own estimate of the degree to which these will be capable of meeting overall student demand. Individual universities may well have made different estimates of the way general factors will affect them — for example, how many stop-out students will return. It is in the universities' own interest to develop a collective view about the adequacy of their individual plans to meet foreseeable needs, and to communicate this view to the governments who will be expected to provide the necessary resources. The potential for voluntary collective planning activity goes well beyond this. It is important, however, that planning roles and responsibilities of each "actor" be well defined and well understood. The outcome of planning activity by the voluntary collectivity is advice to individual universities, not direction. Direction, when required, is the prerogative and responsibility of the intermediary body and/or the government. If the collectivity were to be empowered by law to direct its members, it would no longer be a voluntary collectivity. So far, in Canada university collectivities have been organized on the voluntary principle. In putting forward these guidelines we are confident that collectivities established and maintained on this basis can serve well the long term planning process we describe.

*1.2 c.) the intermediary body or government department's responsibility*

If it is the responsibility of universities to put forward individual plans and collective plans, including the identification of planning issues which require attention, it is the responsibility of the provincial government to respond to these plans or to charge an intermediary body with the responsibility of providing a response. This response will indicate whether it is the judgement of the intermediary body and/or

the government that the roles proposed by the universities separately and in aggregate are in harmony with the general social development policies of the government and are feasible within the limits of the government's long term revenue and expenditure projections. Where university plans appear to be inconsistent with needs, steps should be initiated to make required adjustments. Once a systematic process of long term planning is in place most adjustments from year to year will be marginal ones although, over time, it is to be expected that substantial changes will occur. The object of the process is to ensure that necessary changes of direction are brought about gradually, rather than suddenly. Admittedly, more difficult adjustments may be required in the early stages of the process, particularly where major aspects of the roles of individual institutions are still unresolved.

The first stage in the response of the intermediary body<sup>1</sup> should be conducted verbally and based on the planning documents of the individual universities and their collectivity. Informal consultation should follow as necessary as the intermediary body prepares its own annual planning document.

Guidelines for the intermediary body can be summarized thus:

*1.2 c) Following formal and informal consultation with individual universities and their collectivity the intermediary body (or government department where there is no intermediary body), should publish an annual planning document to be circulated to all faculty, members of boards of governors, legislators and the general public on request. This document should*

- i) set out the functions of the university system in the province or region in relation to other educational institutions;*
- ii) indicate, giving assumptions and reasons, the planned scale of enrolments settled for the university system in the long term planning period ahead (five to ten years) together with projected enrolments in other post-secondary institutions;*
- iii) describe plans for future program developments, the reasons for these and the opportunities which they will create for students.*
- iv) summarize briefly the role planned by each institution and the extent to which this role is consistent with the needs of the province or region as a whole;*
- v) report decisions taken by government and universities which relate to issues reviewed in earlier planning documents;*
- vi) draw attention to areas about which there is major uncertainty and need for further study before the basis for long term planning in relation to them can be established;*

*The text of the planning document should stress that it is one of a series of working papers intended to contribute to an ongoing process.*

In this context alternatives should be set out boldly where they illustrate unre

<sup>1</sup> Where there is no intermediary body, the process would proceed with officials of a government department performing the same function.

solved policy issues. For example, is there to be an additional medical school in the province or region? What are the major considerations? What are the currently outstanding uncertainties about federal policies affecting research? What possible roles might universities play in developing the so-called Open Sector? Comment on the alternatives proposed should be invited from the public at large as well as from the university.

Each annual document in the series would continue discussion of unresolved issues, introduce new areas of uncertainty, and report decisions taken by governments and universities on previously unresolved questions.

In addition to such an annual series, the long term planning process would require occasional papers dealing with major aspects of university development. Some important topics might be introduced to the whole university community and the public at large by such means. There is, for example, an immediate need for such a paper in most jurisdictions on continuing education. We have been told a great deal about the needs of the "learning society", but the business of establishing priorities among these needs and investigating the practicalities of providing for them has hardly begun.

Such special studies would also be intended to initiate discussion, not provide final answers. This study of long term planning relations between universities and governments is, itself, such a working document.

*1.3 The parties named in a, b, and c that is the individual university, the university collectivity and the intermediary body or government department should be jointly responsible for establishing a regular cycle of planning activity in harmony with their respective operational requirements.*

The cycle could work as follows:

The university:

1. July - September: universities begin preparation of long term planning document.
2. October. draft planning document minus enrolment projections presented for discussion in senior academic governing body.
3. September - November: enrolment projections revised in consultation with collectivity which provides preliminary revisions of other universities.
4. December: draft revisions of enrolment projections presented to senior academic governing body.
5. January. long term planning document including revised enrolment projections approved by senior academic governing body and published - sent to government or intermediary body.

The Collectivity:

1. October - November. assists universities in exchanging information on revision of enrolment projections.
2. October - November. prepares own draft planning document making use

of draft university documents under debate at individual universities.

3. January: publishes annual planning document — sent to intermediary body and universities.

The Intermediary  
Body or Government  
Department:

1. October — December: Gathers information from government and from private sector; in consultation with collectivity makes preliminary revisions of enrolment projections.
2. January: receives annual planning documents from universities and collectivity.
3. March — April: discussions with universities re planning documents.
4. May — June: prepares provincial planning document in continued consultation with collectivity and with individual universities.
5. July: publishes planning document.

With the publication of the provincial document the cycle begins again. In part each university's next planning document will be its response to the previous provincial document with particular reference to the implications of the latter for its own role.

The cycle outlined above refers only to long term planning. Universities will simultaneously be engaged in a cycle of budget preparation for the following year, and the intermediary body will be engaged in formulating recommendations on the budget requirements of the system two years ahead. Any planning cycle must be made to mesh with other activities on the basis of experience. It would be possible to spread the planning cycle over a two year period. However, in view of the neglect of long term planning in most jurisdictions, a one-year cycle is needed to underline the urgency of moving toward the establishment of adequate planning processes. Once these are well established, it should then be possible to reduce the flow of planning documents at all levels of responsibility.

*11.1 To assist an adequate long term planning process within provincial (or regional) jurisdictions, the federal government should state clearly in a comprehensive working document*

- a) *its interest in the relationship of university activities to federal policies in many fields (e.g. student aid/welfare, cultural resources, libraries and the arts, economic growth, manpower planning, etc.);*
- b) *the methods by which it intends to coordinate its own several departmental and other specialized interests for purposes of planning in consultation with the provinces and the universities.*

A comprehensive working document which articulated the interest of the federal government in the ways indicated in a) would encourage open and uninhibited discussion of such relationships and would do much to improve the possibilities for

constructive processes within the university/provincial/federal triangle. "A new perspective on the health of Canadians" recently published by the Minister of Health and Welfare to outline the interest of the federal government in the field of health care and prevention is an admirable model for the purpose referred to above.

If the federal government were to prepare such a document, it would be the first step toward the development of an adequate planning interface at the national level. Both universities and provincial governments need the opportunity of discussing the role of university systems and individual universities in relation to the goals of the federal government. Such long term planning discussion should be under way *before* the provinces and the federal government are faced with the next round of decisions about the financing of universities.

*11.2 The National Research Council, Medical Research Council and the Canada Council should institute long term planning processes which involve consultation on a continuing basis with universities as institutions. Planning documents should be published periodically in which priorities which it is within the competence of the separate councils to establish independently are stated for a five to seven year period and reviewed at regular intervals.*

Such documents are essential if universities are to plan their respective roles in a provincial or regional context. Among the key issues requiring clarification are the planned emphasis on postdoctoral fellowships versus predoctoral fellowships, on graduate student research assistants versus full time technicians, on curiosity-motivated versus mission-oriented projects, on group versus individual projects and on general operating support versus grants for major equipment and library purchases. In particular, continuing attention must be given to the impact of federal council granting policies on attempts to rationalize graduate work in provincial university systems.

For the federal government itself and its agencies to contribute to the long term planning process outlined here, there should be available at this level, as at the provincial, a credible voice speaking for the universities *as institutions*. To some extent, the AUCC has provided such a voice at the federal interface. Today, however, for all practical purposes, the most important interface is a national one involving provincial governments, the federal government and universities. One of the obstacles to extending the principles of consultative planning to this national triangle is the present lack of a credible national voice for universities. This is the basis on which the following guideline is offered.

*III The AUCC through its Board of Directors or its Committee of Executive Heads should convene a meeting with the provincial and regional university collectivities to formulate a proposal for a national university "voice" to make representations and to be consulted continuously and systematically on all policy issues of a federal-provincial or interprovincial nature affecting universities.*

We note in Chapter II that one way of organizing such a national "voice" would be for the AUCC to become a federation of provincial or regional associations of universities. Whether or not this or another kind of formal reorganization occurs, it is important that the AUCC achieve a closer relationship with the Council

of Ministers of Education as well as with the federal government and its agencies.

In the foregoing summary of guidelines we have italicized the main suggestions offered. The guidelines should, however, be regarded as sketch drawings for a long term planning process — not a set of blueprints from which to begin immediate construction. It is hoped that the guidelines and other suggestions and observations in the text will encourage all concerned to develop blueprints for processes appropriate to their particular circumstances.

## Institutional Frameworks and Planning Processes

Particular structural forms do not guarantee attention to long term planning. Nevertheless, since processes occur within structures we shall, in this chapter, preface a more general discussion of the long term planning process by examining the institutional framework as it exists in each province and at the national level. We also note planning experience relevant to the theme of the study. The institutional frameworks described here serve a variety of purposes of which planning is only one, and the most neglected.

### Table 1 and Figure 1

Table 1 lists government departments and agencies and the collectivities of universities which are involved in the framework provincially, regionally, and nationally. It is intended to assist the reader in keeping straight the varied terminology used by different jurisdictions in designating departments of government and other bodies concerned with university affairs.

Figure 1 shows the university within a complex set of external relationships. The basic triangle is formed by the university/the provincial government/the federal government. On the left is the provincial or regional intermediary body to which the university relates (except in Newfoundland and Alberta where there are no buffers). Also on the left is the provincial and/or regional collectivity to which the university belongs. To the right are the federal buffer agencies and the national collectivity of universities (the AUCC). Below is the Council of Ministers of Education. The thickness of the lines connecting each of the points of the diagram might be varied to suggest the degree of communication involved in a particular case. For example, in Alberta there would be a thick line between the university and the provincial government because there is no intermediary body. In other provinces the lines between the provincial governments and the university would be as thick as those between the buffer and the university. Similarly the intensity of communication between the intermediary body and the government may vary. In general, because the federal buffer agencies perform more comprehensive executive functions, their communications with the federal government as such are less intense than those between a provincial government and a provincial intermediary body.



Table 1

Jurisdiction  
Federal Gov't.

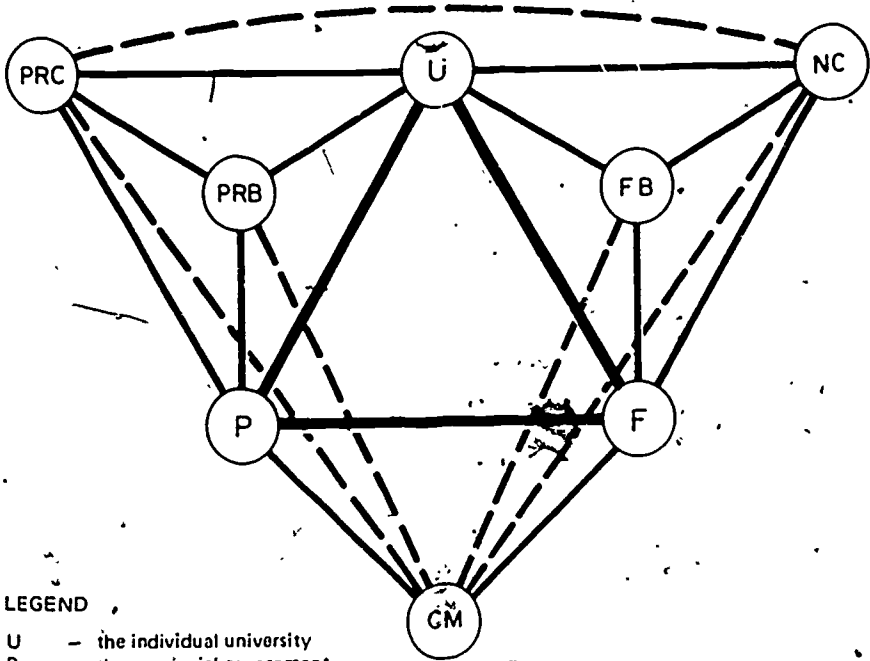
GOVERNMENT DEPARTMENTS, AGENCIES, AND UNIVERSITY COLLECTIVITIES INVOLVED IN UNIVERSITY PLANNING

Jurisdiction	Government Department Office of the Secretary of State	Other Government Agency National Research Council (NRC)	University Collectivity Association of Universities and Colleges of Canada*	Regional Collectivity
Provincial Gov't Newfoundland	Ministry of State for Science and Technology (MOSST)	Medical Research Council (MRC)		
	Treasury Board	Canada Council		
	The Privy Council Office*	Statistics Canada Science Council		
		Economic Council of Canada		
		None		
Nova Scotia	Dept. of Education	University Grants Committee until 1974	Committee of Presidents	Association of Atlantic Universities*
New Brunswick	Dept. of Finance Premier's Office	Higher Education Commission until 1974	Committee of Presidents	
P. E. I.	Dept. of Education	Commission on Post-Secondary Education until 1974		
N.S., N.B., & P.E.I.		Maritime Provinces-Higher Education Commission		
Quebec	Dept. of Education	Council of Universities*	Conferece of Rectors*	
Ontario	Higher Education Division Ministry of Colleges and Universities	Ontario Council on University Affairs - replaced Committee on University Affairs 1974	Council of Ontario Universities*	
Manitoba	Dept. of Universities and Colleges Affairs	University Grants Commission	Committee of Presidents	Comm.tee of Western Presidents
Saskatchewan	Dept. of Continuing Education	Saskatchewan Universities Commission		
Alberta	Dept. of Advanced Education	None	Committee of Presidents	
British Columbia	Dept. of Education	Academic Board - Advisory Committee until 1974	Committee of Presidents	
All provinces	Council of Ministers of Education, Canada	Universities Council of B.C.		

\* With full-time secretariat and research staff

The dotted lines suggest avenues of communication which would be developed in a satisfactory planning process.

Figure 1



#### LEGEND

- U - the individual university
- P - the provincial government
- F - the federal government
- CM - the council of ministers
- PRB - the provincial/regional intermediary body
- FB - the federal buffers
- PRC - the provincial/regional university collectivity
- NC - the national university collectivity (AUCC)

Paradoxically perhaps, whatever may be the "residual" federal role in university affairs from the point of view of the constitution, in a country which assigned "education" to the individual provinces, both the buffer and the common voice concepts referred to on page 7 were first institutionalized at the national level. It is therefore appropriate to begin examination of the structural framework from this perspective.

#### *The national framework*

The national framework includes the departments and agencies of the federal government whose policies and activities bear on the universities, the national "voice" of the universities (The Association of Universities and Colleges of Canada), and the national voice of the provincial governments as organized through the Coun-

of Ministers of Education. This national framework can also be said to include the provincial systems of higher education. These are treated under the heading "provincial frameworks".

### *The research councils*

The National Research Council, the Canada Council and the Medical Research Council are comprehensive buffer agencies long established by legislation to allocate funds in support of specified purposes. They are responsible through cabinet ministers to parliament. Ministers are not, however, answerable in the legislature for decisions about particular grants or for administrative detail.

The tasks of the National Research Council, the Canada Council and the Medical Research Council are to advance knowledge as a matter of national interest. They have had a major role in developing the universities into key instruments for this advancement. Individual scholars in the universities are closely involved with the councils either as recipients of grants, referees, members of scholarship and bursary committees, or as members of the councils themselves. Membership on the councils and their committees and panels rotates regularly so that a broad cross section of the university community is familiar with their detailed working. Because the councils are largely discipline oriented, and their procedures involve scholars from all parts of Canada, they provide an important informal communications network which brings scholars in each discipline into regular contact not only with each other but with laymen and officials who take a national and international perspective on the advancement of knowledge. Scholars in every discipline have access to far-flung informal information networks as well as to their learned societies and journals which are in many cases subsidized by the granting councils. A significant element in the network for scholars in the humanities and social sciences is provided by the Humanities Research Council and the Social Sciences Research Council which are supported by the Canada Council and administer programs funded by the Canada Council.

In the past, as a result of strong disciplinary "networks" and a laissez-faire climate reinforced by granting policies, individual university departments made many decisions about the emphasis of their teaching and research which had important planning implications for their institutions. More recently, as universities have become concerned about "planning" research, departmental planning of this kind may become more exposed to a consideration of its impact on a university as a whole. Newly established offices of research administration will assist this process within many universities, and ensure that institutional interests generally receive more attention.

In this study we are not primarily concerned with the internal planning of universities. Rather the point to be made here is that there are multiple interfaces between individual university scholars and federal agencies - particularly with the councils supporting research - and that the universities as institutions will be largely unaware of whatever impact such interfaces may have on their internal planning unless they make a conscious effort to inform themselves.

In recent years, the granting councils have developed closer relations with senior administrators in individual universities as, for example, in the working out of

the National Research Council's major negotiated development grants. Because such grants have important implications for the future development of institutions receiving them, it is now customary in most cases for universities to inform the provincial authorities before final commitments are made. The National Research Council is in the process of establishing communications on a regular basis with provincial departments and agencies which have responsibility for university affairs so that the policies and priorities of this federal body may be understood as fully as possible. Still lacking, however, is a systematic process of three way consultation which results in regular publication of long term planning priorities which is within the competence of the councils to establish independently. (See guideline 11.2)

### *The Association of Universities and Colleges of Canada*

The universities of Canada have a "national voice" in the present Association of Universities and Colleges of Canada which evolved from a series of earlier organizations beginning a full half century before provincial collectivities of universities began to take shape. The AUCC performs a number of services for its members and acts as a collective interface for the universities with departments and agencies of the federal government responsible for external affairs as well as those concerned with research and with the general interest of the federal government in universities as national cultural resources. It is clear, however, that the AUCC by itself cannot provide a sufficiently credible university voice in an increasingly complicated triangular relationship involving provincial governments. An AUCC presence at such discussions would be valuable in the interests of communications especially when it is involved in providing staff studies at the national level or otherwise facilitating processes decided upon by the two levels of government. For ten years, from 1956-57 to 1966-67, the AUCC and its forerunners the NCCU and CUF assumed responsibility for distributing federal grants to universities.

If universities are in future to achieve a credible form of participation in triangular discussions, they must find a form of representation at the national level which reflects their interests at the provincial or regional levels. One way of organizing such representation would be for the AUCC to become a federation of provincial or regional associations of universities. Collectivities are well established in all parts of Canada with the exception of the four western provinces. There, a newly-formed informal committee of presidents provides the nucleus for an effective regional organization on the model of the Association of Atlantic Universities. Informal committees of presidents also function in each western province with the exception of Saskatchewan where, until recently, there was only one university. Western participation in a reconstituted AUCC could be provided, therefore, either by the provinces individually or on a regional basis.

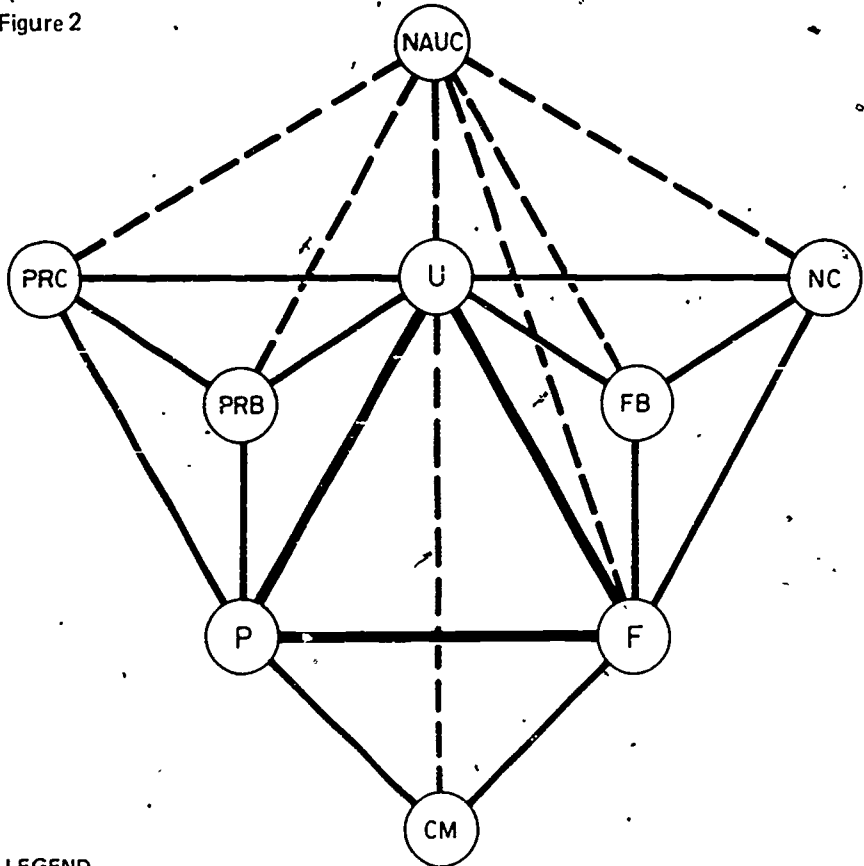
An alternative to the above suggestion would be to create a national association of university collectivities which would involve the AUCC as well as provincial and regional organizations in arranging for a broadly based national "university voice" when major issues of policy arise which require triangular discussion with federal and provincial governments.

In any event, a national voluntary university collectivity equivalent to the Council of Ministers of Education reflecting provincial and regional concerns would

seem to be essential if universities are to assert a credible presence as an essential and concerned member in this triangle. Since the major policy issues to be settled at this level involve basic assumptions about the goals and purposes of university systems in Canada, university participation in this triangular interface becomes crucial to effective long term planning process at all levels. (See guideline III).

Figure 2 shows how the association or federation of collectivities would relate to the federal government and to the Council of Ministers.

Figure 2



LEGEND

U - the individual university  
 P - the provincial government  
 F - the federal government  
 CM - the council of ministers  
 PRB - the provincial/regional intermediary body  
 FB - the federal buffers

PRC - the provincial/regional university collectivity  
 NC - the national university collectivity (AUCC)  
 NAUC - National Association or Federation of University Collectivities

(As the text makes clear, the national university "voice" might be arranged by AUCC without formal reorganization. It is the communication represented by the vertical dotted line joining the Council of Ministers and the national voice of the universities which is essential).

### *The Council of Ministers of Education*

Another kind of collectivity must be brought into the discussion at this point — the Council of Ministers of Education of the ten provinces. The provincial premiers established the Council as an agency intended to provide an interprovincial perspective on educational matters within provincial jurisdiction. The Council has a permanent secretariat located in Toronto. It deals directly with the Department of External Affairs on such matters as Canadian representation at official conferences abroad dealing with education. It is one of the agencies responsible for conducting the current OECD survey of post-secondary education in Canada. To date, the Council has not presented a high profile in university affairs, but during the winter of 1973-74 responded to efforts of the federal Ministry of Science and Technology to promulgate new directions in science and research policy by issuing a strong statement on provincial interests in university research. This led to the setting up of a joint sub-committee of the Council and MOSST which has begun to discuss issues relating to research policy. Of the four representatives appointed by the Council of Ministers, three were deputy ministers (one each from the West, Ontario, and Quebec). The fourth was the Chairman of the Maritime Provinces Higher Education Commission, designated to represent the governments of Nova Scotia, Prince Edward Island and New Brunswick. By coincidence this Maritime representative was also the president of the AUCC. This is not, however, a "university voice" of the kind we wish to prescribe. Such a working group could do much to clear the air on issues of research policy planning at the national level, but only if university participation is arranged in one of the ways suggested and only, it might be added, if the federal "voice" is adequately representative of the many interested departments and agencies of the federal government.

Furthermore, as we point out later, once federal policies are clear, the research role of each institution has to be settled through provincial or regional planning processes. We shall also emphasize the impossibility of universities attempting to compartmentalize university-government relations either on the basis that provincial governments are concerned only with teaching or that the federal government is concerned only with research.

### *The federal government*

The main responsibility for articulating the interest of the federal government has been assigned to the Department of the Secretary of State in general and to the Ministry of State for Science and Technology, in so far as it is concerned in particular with the coordination of requirements for highly qualified manpower and with research and development. These Ministries are supplemented by the Privy Council Office which, in serving the Cabinet as a whole, maintains a close watch on all policy development within the federal government which impinges on federal/provincial relations. The work of the Ministries is supplemented by the important analyses provided from time to time by the Treasury Board, the Economic Council of Canada and the Science Council.

The federal interest has not been stated clearly or loudly in recent years. While the reasons for this reticence are understood, it is hoped that the federal government will soon be in a position to articulate its wider interest in the way in which university affairs relate to federal policies in many fields (e.g. student aid/welfare,

inter-regional equity, cultural resources, libraries and the arts, economic growth and manpower planning). A comprehensive working document written to encourage open and uninhibited discussion of such relationships would do much to improve the possibilities for constructive processes within the university/provincial/federal triangle

### *Statistics Canada*

One of the most important interfaces for planning purposes exists in Statistics Canada's relations with other departments of the federal government, with provincial governments, and with universities. The goals of Statistics Canada include "the collection and dissemination of information on higher education in Canada". It is occupied mainly with the collection, tabulation, and limited analysis of retrospective data. Statistics Canada does not itself publish officially endorsed enrolment projections. We discuss its present and potential role in projecting enrolments in Chapter V. This is a particular and critical part of the planning process.

As we suggest in later chapters in this study, information plays a critical role in planning, and we argue that insofar as universities are concerned the methods and scope of information collection, and its analysis, must be included in the planning process.

What kinds of data will be collected, how frequently, and for what purpose? Neither the collection or the interpretation of information are neutral acts. Both depend upon a framework of assumptions and values. Furthermore, the attempt to standardize information *about* activities will frequently have the effect of standardizing the activity. This may be expensive not only in terms of the direct effort involved, but also, when universities are concerned, in a loss of autonomy and diversity.

The problem is not that Statistics Canada has neglected consultation with universities. On the contrary, Statistics Canada has initiated a number of consultations with universities about ways of improving the present information files on enrolments, staff, finance, etc. These welcome initiatives should do much to ensure that information collected is useful in relation to the effort involved in collecting it.

The problem has been an observable tendency on the part of universities to see the creation of statistical files as purely a technical matter to be worked out by technical experts and the university people involved have tended to concentrate on technical issues rather than looking at the broader implications. The more critical university view has tended to be brought in, if at all, at a later stage and after the basic design is complete.

Because policy issues relating to information have not been seen as crucial to the planning process and tend therefore to go unnoticed until it is too late, it would perhaps be helpful if the AUCC set up a small standing committee which would include representatives of the major regional university collectivities. This could be a means by which the senior officers of Statistics Canada concerned with universities could meet on a regular basis to sound out university views in advance of the design stage for new data collection projects or when major modifications are proposed for existing programs. This consultation would be complementary to the present system of regional meetings concerned with improving particular files. National consultation between an AUCC committee and Statistics Canada might also involve representa

tives of the Council of Ministers. Such three sided consultation would ensure early warning to all concerned and also provide means for consideration at the conceptual stage of policy issues involved in particular data collection proposals.

This discussion of the role of Statistics Canada has led us to touch on the problem of reconciling institutional autonomy and the accountability involved in public financing of universities. It is a fundamental problem never far below the surface of our continuing discussion. In Chapter VI we turn to it explicitly after examination of provincial frameworks and explanations of what we think planning means and what we should be able to expect of it.

### *Provincial frameworks*

In Chapter I (page 8) we listed four main elements in the institutional framework of a university system

1. individual universities
2. voluntary collectivities of universities
3. intermediary bodies established by governments
4. governments and government departments

In the Guidelines summarized in Chapter I we allow for the possibility that either or both the voluntary collectivity or the intermediary body may be missing in a given jurisdiction. In this section we describe the elements now present in each jurisdiction and indicate the relative importance of their present roles in planning. Since long-term planning processes run concurrently with day to day and short term operations we also note the nature of the general relationships which exist between universities and governments.

### *Newfoundland*

Newfoundland is the only province which has consistently maintained a direct relationship between its university and government and where the creation of an intermediary body has not been contemplated. A Committee of the cabinet receives a statement of the university's capital and operating needs and decides how much is to be provided. It thus approves directly major changes in the university's role (e.g. establishing an engineering school).

Day to day relationships depend on direct contact between the president of the university and the minister of education, the minister of finance and/or the premier. Consultation in both directions appears to be close and continuous on matters affecting the university. In rare cases when the government has acted initially without consultation (as in the case of student aid regulations in 1973) it has responded readily to the university's request for further joint consideration.

Memorial University of Newfoundland belongs to the Association of Atlantic Universities (see below) but because of geographic isolation plays a less active role in its affairs than do the more closely grouped universities of the Maritime Provinces. Not surprisingly, the interest of the university and the province in regional planning and "rationalization" is limited since this might imply removal from Newfoundland of resources such as the faculties of medicine and engineering on which the province relies heavily for implementation of its economic and social policies



### *Maritime Provinces*

Nova Scotia	Dept. of Education	U. Grants Commission until 1974	Committee of Presidents	Association of
New Brunswick	Premier's Office	Higher Ed. Com. until 1974	Committee of	Atlantic Universities
P.E.I.	Dept. of Education	Comm. on Post-Sec. Ed. until 1974	.....	

It is necessary to look at Nova Scotia, New Brunswick and Prince Edward Island together because of the recent establishment of the Maritime Provinces Higher Education Commission (MPHEC) to consider the needs of universities in the three provinces on a regional basis and to make recommendations on grants and other matters to the Council of Maritime Premiers. The new Commission is technically an advisory body, but it is the wish of the Premiers that it will perform in some respects as a buffer. It will have to establish credibility with the separate governments and universities, but is given a good chance of doing so on the basis of experience with the former New Brunswick Higher Education Commission on which it was closely modelled.

### *New Brunswick*

The New Brunswick Higher Education Commission was established in 1967 as an advisory body, but in practice successive governments largely accepted its advice and delegated to it the responsibility for administering capital and operating grants to the universities. The Commission reported to the legislature through the office of the premier and functioned more nearly in the style of a comprehensive buffer than has any other provincial intermediary agency in Canada. There was no separate bureaucracy in a government department. Only student aid has been administered by the Department of Youth. The commission was free to offer policy advice in this area and did so in its final report.<sup>1</sup>

Both universities and politicians in New Brunswick were agreed that the Commission should be allowed to do the job. Successive governments made it clear that attempts by universities to make end runs around the Commission would not be tolerated or rewarded. The universities had close day to day relations with the staff of the Commission. The Committee of New Brunswick Presidents met from time to time with the premier to discuss university problems in general terms, but access on substantive matters affecting individual universities has been available only through the Commission.

### *Nova Scotia*

The first formal University Grants Committee in Canada was established by Nova Scotia in 1963. It was never given as clearly independent a role as the New Brunswick Commission and, following a change in government in the late 60's it ceased to be viewed by government as the exclusive channel of communication with univer

<sup>1</sup> *Perspective A*, report to government on Operating and Capital Assistance to Universities and Colleges in New Brunswick. New Brunswick Higher Education Commission. March 1974.

sities. A number of major decisions were taken by government without first seeking the advice of the Commission and in other cases the Commission's advice was ignored. It remains to be seen whether the different traditions of university/government relations in the province of Nova Scotia will limit the independence of the MPHEC.

#### *Prince Edward Island*

Prince Edward Island has had a Commission on Post-Secondary Education with responsibility for making recommendations to government on the University of Prince Edward Island and the non-degree Holland College. In recent years the formation of the MPHEC has been anticipated by having staff work for the P.E.I. Commission carried out by the New Brunswick Commission.

#### *University collectivities*

In both Nova Scotia and New Brunswick, committees of presidents of universities have met regularly to formulate positions on policy matters for presentation to their respective governments and commissions. However, more formal structure has been given to collaboration on a regional basis through the Association of Atlantic Universities, which has an executive director with a small support staff.

The AAU has facilitated inter-university cooperation on such matters as computers, library services, educational technology and student aid. The Committee of Academic Vice-Presidents of the AAU formed in 1971 has considered all proposals for new programs on a regional basis and the Commission in Nova Scotia required the approval of this committee before funding is provided for the implementation of such programs. The Maritime universities appear to be in a strong position to "speak with a common voice" and work effectively with MPHEC in planning further development of universities on a regional basis.

#### *The Maritime Provinces Higher Education Commission*

The MPHEC now has responsibility for a large number of relatively small institutions. If rationalization is to proceed in order to spend money effectively and enhance the quality of university work in the Maritime region painful decisions must be taken. Political leaders in the Maritime provinces seem for the most part to have recognized the advantages of insulating this kind of activity from direct political influence. It is too soon to tell whether the new regional structure will be able to accommodate the processes necessary to resolve issues of rationalization such as those raised by the Nova Scotia Royal Commission which contemplates in its *Report* the possible need for a Nova Scotia Commission in addition to the MPHEC.<sup>1</sup>

#### *Province of Quebec*

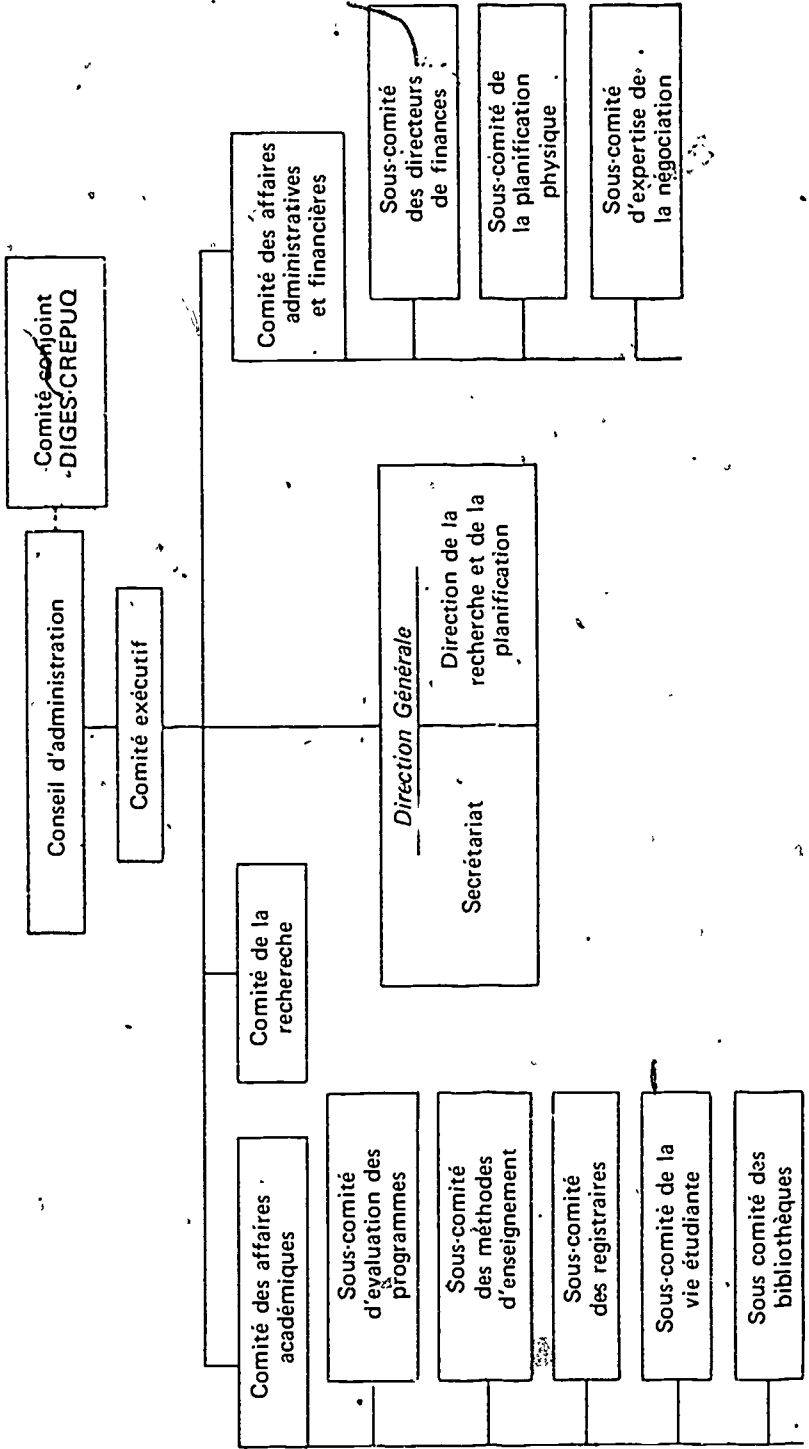
In Quebec the main bodies involved at the interface between universities and the government are

- i) the Directorate of Higher Education (Direction - générale de l'enseigne-

<sup>1</sup> *Report of the Royal Commission on Education, Public Services and Provincial Municipal Relations in Nova Scotia. Recommendation III/64/24.*

# CONFÉRENCES DES RECTEURS ET DES PRINCIPAUX DES UNIVERSITÉS DU QUÉBEC

## ORGANIGRAMME



ment supérieur (DGES) within the Ministry of Education.

- ii) the Superior Council of Education (Conseil supérieur de l'éducation) established as an advisory body in 1964 has a Board of Higher Education (Commission de l'enseignement supérieur); while the minister is obliged to consult the Superior Council on certain matters his main source of advice since 1969 has been
- iii) the Council of Universities (Conseil des universités) established in 1969 as a more specialized advisory body with membership and chairman appointed by the government including mainly university personnel, with a small number of laymen.
- iv) Conference of Rectors and Principals (Conférence des recteurs et des principaux des universités du Québec, (CREPUQ) which established a full time secretariat in 1968.\*

Universities deal on a day to day basis with the DGES. However, on major matters of policy, and on funds required by individual universities and by the system as a whole, the Ministry is compelled by law to seek the advice of the Council, which in turn must publish its advice.

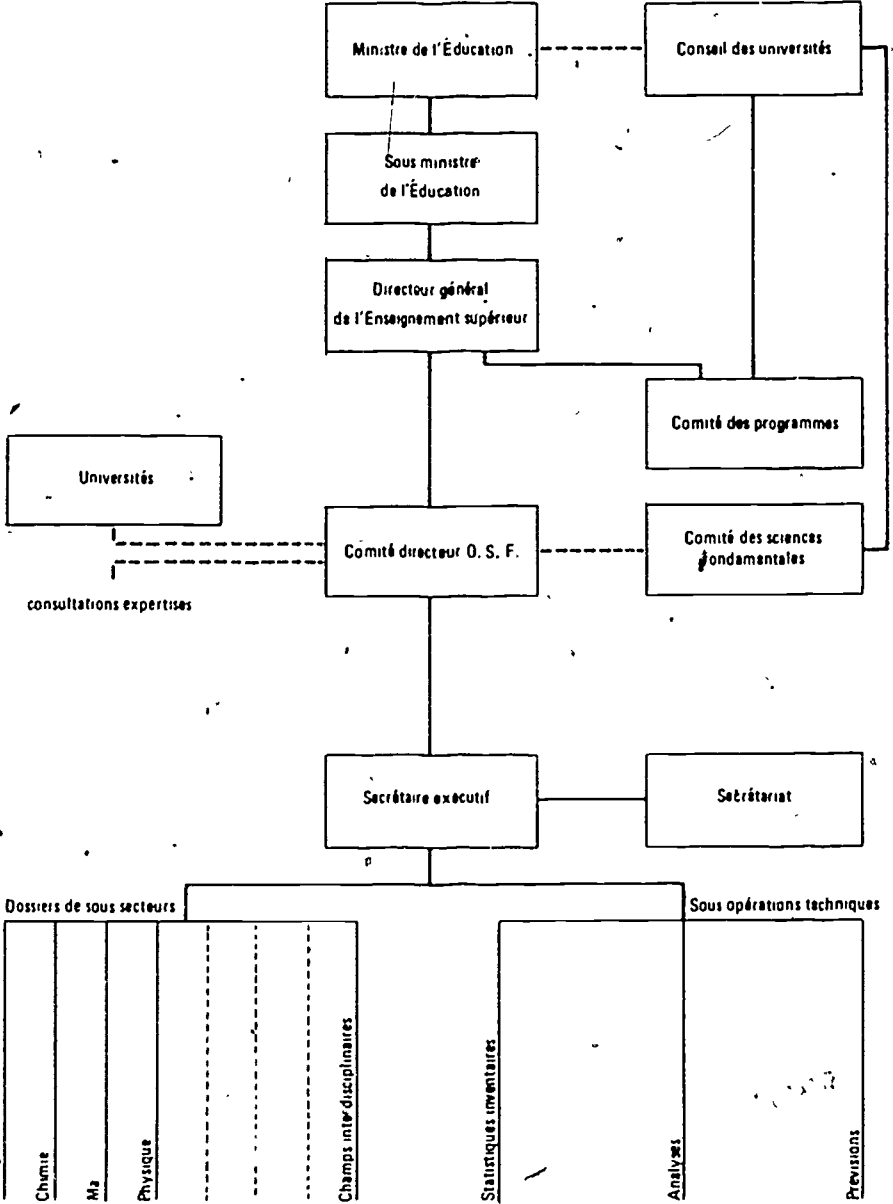
Both the DGES and the Council have taken major planning initiatives. The DGES acted unilaterally in launching a number of "sectorial operations" thus preempting part of the potential planning functions of the Council and the Conference of Rectors (see below). The first sectorial operation dealt with Applied Science (Opération sciences appliquées, OSA). Although many persons chosen by the government to conduct the study were drawn from within the universities, nevertheless the universities as institutions objected to the lack of consultation before the project was set up and its procedures determined. In particular the study imposed a heavy burden of data collection on the universities some of which could not carry it out without reducing essential activities elsewhere. When a health science study (Opération sciences de la santé, OSS) was launched on the same basis, the universities registered strong objection. As a result, when the sectorial operation in basic sciences (Opération sciences fondamentales) was begun in 1973 the Council and the universities (through CREPUQ) were involved at an earlier stage.\*\*

The DGES had also adopted a top-down technocratic attitude to planning when, in 1970, it established a substantial research group to plan a large province-wide information system (Commission d'élaboration d'un système d'informatique de gestion des universités, CESIGU). Although there was some consultation with the universities, the project was pushed ahead according to the ministry plan without giving systematic consideration to alternative ways of achieving the purposes stated. As work proceeded it became clear that many of those involved were motivated by the idea of a single massive system for its own sake rather than for its utility in making the best use of resources. The project was allowed to atrophy during 1973. A revised approach to information needs is now proceeding on the basis of closer cooperation between the DGES and the universities through CREPUQ.

\* For organization of CREPUQ, see page 28

\*\* For organization of OSF, see page 30

OPÉRATION SCIENCES FONDAMENTALES



As a result of experience with sectorial operations and CESIGU and changes in personnel within government and in the Conference of Rectors, university affairs in Quebec are today conducted in a more consultative, more cooperative and less adversary spirit. The Ministry appears to put less faith in technocratic and top-down *planification*, which became popular in France in the 1950's. The mood now seems to be more pragmatic (more "english" as one official at l'Université de Montréal observed). The universities are now consulted from the beginning about procedures for sectorial operations. These are controlled directly by the Ministry. The Minister receives the reports directly, seeks advice from the Council, and issues directives on those recommendations which the universities are expected to implement. Although the Minister must, by law, consult the Council on such matters, he is not bound by the advice he receives. In acting on the sectorial reports he has sometimes accepted the Council's views, sometimes not.

### *Grandes orientations*

The planning activities of the Council of Universities are conducted in a different style and focus on universities as whole institutions. While they do not result in Ministerial decisions, the long term planning activities of the Council of Universities provide the best model of an iterative\* long term planning process yet available in Canada. The exercise *grandes orientations* or more formally *les objectifs généraux de l'enseignement supérieur* began with requests to each institution to submit briefs on higher education and on its own plans for the future. On the basis of these initial statements, the Council asked the universities for further information to justify certain points. The Council then prepared draft sections of its report as a basis for further comment from the universities. The report issued in 1973 contains recommendations on the future role and development of each institution, and in a number of specific instances advises closer cooperation between universities. Although the Ministry of Education has not officially reacted to the report, it has been generally accepted by the universities as a set of guidelines for evolution. Moreover, the Council has announced its intention of reviewing and assessing action taken by universities in response to the report. For this purpose, each university has been requested to submit to the Council an "interim progress report" in February 1975. We refer again to this Quebec example in a later more general discussion of role differentiation as an outcome of the kind of planning process this study supports.

### *Approval of new programs*

New programs, if they are to be funded, must be approved by the Committee on Programs, jointly established by the Council of Universities and the DGES. A recommendation for approval and funding will go forward to the Ministry only after approval by the Council. Early in 1974, the Committee on Programs began to plan a process of exhaustive review of existing programs in areas not covered by sectorial studies. The Committee of Programs is as much concerned with the quality of new and existing programs as it is with need. For this purpose it relies on advice from an Evaluation Committee appointed by the Conference of Rectors (CREPUQ). When

\* The word connotes a cyclical process of trial, evaluation and modification. It is discussed more fully in Chapter III.

the quality of graduate programs is to be assessed, the Committee engages consultants from outside Quebec.

### *Planning research*

In Quebec the provincial government has taken more explicit action in the field of research than in any other province or region. The main aim of these actions had been to bring research activities at the major francophone universities up to the level of those at McGill. The government has also created the National Institute for Scientific Research (Institut national de la recherche scientifique (INRS) which is an integral part of l'Université du Québec. At one time l'Université du Québec was seen as a coordinating instrument for the whole provincial university system rather on the model of the University of California. It may have been in this context that INRS was first conceived. The idea of making l'Université du Québec the coordinating agency for the whole system was abandoned in the planning stage. But INRS remained. This has been a source of tension so far as the other universities are concerned and at the time of writing, the status of INRS and the question of coordinating research are being reviewed by the Ministry in consultation with the universities.

Although the separate planning thrusts of the Ministry through sectorial operations, the Committee on Programs, and the various bodies concerned with research appear to be disjointed and uncoordinated, the continuing *grandes orientations* exercise of the Council is potentially at least a way of bringing them all together through the institutional planning of each university. The "interim progress reports" provide an excellent opportunity for each university to evaluate all of the planning processes to which it has been subjected and to suggest alternative and perhaps more systematic ways of proceeding in the future.

### *Ontario*

In Ontario the main bodies concerned with university affairs are

- i) Ministry of Colleges and Universities established in 1972 with responsibility for all post-secondary education. From the fall of 1964 until 1972 university matters were dealt with by a separate Department of University Affairs. Other post-secondary institutions remained for the most part within the jurisdiction of the Applied Arts and Technology Branch of the Department of Education.
- ii) Ontario Council on University Affairs - OCUA. A new advisory body established in 1974 to succeed the former Committee on University Affairs. The latter evolved from a lay body in the early sixties to one with substantial academic membership. In 1967 an academic member was appointed full-time chairman.
- iii) The Council of Ontario Universities. COU membership now includes a faculty member elected by the Senate of each university to serve as academic colleague to the president who is also a member *ex officio*. Until 1970 this voluntary collectivity of Ontario universities was known as the Committee of Presidents of Universities of Ontario (CPUO) which began informally in the early sixties and established a permanent secretariat in 1966. (See organization chart following page).





The former Committee on University Affairs did not attempt to conduct major planning projects under its own auspices. With the exception of the newer "emerging" universities (so called because they were not large enough to sustain their activities adequately on regular formula income), the Committee did not engage in detailed discussion of the long term plans of individual universities. The Committee and the Department of University Affairs (later the Ministry) each year required updated enrolment projections five years ahead for purposes of estimating space entitlements under an interim capital formula. But even those universities which argued the case for particular long term plans received no response from the Committee except for the comment that graduate projections appeared to be excessive. Although the Committee was instrumental beginning in 1966 in establishing a number of joint committees with the COU usually involving departmental staff and although these committees did constructive work in a number of technical areas such as formula financing, student applications, and student aid, there was no concerted, sustained attempt to encourage overall institutional or system planning.

It was instead the style of the Committee on University Affairs to prod the universities to initiate planning studies in those areas where there appeared to be a danger of undue duplication of facilities or programs such as engineering and graduate studies. The engineering study was much like the sectorial OSA in Quebec. A small expert task group, with research assistance from the secretariat of the COU, studied the nature and extent of engineering education offerings in Ontario universities. The task force reported and made recommendations. These were debated by the Committee of Deans of Engineering and eventually COU itself adopted a number of recommendations to its members which differed considerably from those of the original report. In the main much less "rationalization" resulted than recommended in the report. Its positive value lay in the fact that the universities were forced to confront a number of problems and attempt to deal with them cooperatively. Neither the Committee on University Affairs, nor the Department ever pronounced judgement on the recommendations adopted by COU. Nor did they indicate whether they would monitor university actions resulting from these.

*A specific planning process. the example of the Advisory Committee on Academic Planning.*

It was, however, in the area of graduate studies that the most sustained series of planning efforts occurred in Ontario. A primary goal in the early sixties was the expansion of enrolments in graduate studies, particularly in the humanities and social sciences, particularly in the humanities and social sciences, to meet anticipated need for large numbers of qualified university teachers. The Ontario Graduate Fellowship Program and special grants to universities designed to encourage graduate enrolments helped to double them in four years from 1962 to 1966. By 1965, however, it was already clear to the government that such expansion could not be allowed to continue helter skelter and unplanned if unacceptable costs were to be avoided. Accordingly, the Government established a Commission to study the development of graduate programs in Ontario Universities. The CPUO played a dominant role in selecting the commissioners one of whom was from Britain (with academic experience in Canada), one from the United States and as its chairman, the presi-

dent of the University of Saskatchewan. The CPUO also made arrangements to collect basic data for the Commission.<sup>1</sup>

The Report of the Commission recommended a restructuring of the formal governing arrangements in Ontario to create a Provincial University of Ontario on the model of the state universities of California and New York. The Commission believed that this form of organization would leave the individual institutions with their own governing structures and identities intact while providing "for a maximum degree of coordination of the fourteen universities with a minimum loss of autonomy on the part of the individual institutions".<sup>2</sup> The recommendation was rejected by the government and universities, perhaps because of an historical preference in eastern Canada for decentralization while attempting to achieve centralization as necessary in informal rather than formal ways. The report as a whole documented the unmistakable need for effective "cooperation and coordination between the universities in the field of graduate studies and research, with a view both to develop excellence and to economize resources".<sup>3</sup> This conclusion was not challenged. Only the means of meeting such a need were at issue.

The CPUO and its affiliated Ontario Council on Graduate Studies (OCGS) moved quickly to establish a system of appraisal to ensure that new graduate programs would be implemented only after it was shown that the proposing university had such professorial, library and other resources as to ensure a minimum level of quality. At the end of 1967, when the system of formula financing was being introduced the Committee on University Affairs announced that, while universities were free to begin new graduate programs, nevertheless students registered in programs which had not successfully passed through the CPUO appraisal procedure would not be counted for purposes of calculating the university's entitlement to operating grants. Thus the intermediary body gave sanction and authority to a procedure developed through the initiative of the university community.

At the same time CPUO took steps to see that undesirable duplication of graduate programs was avoided. First attempts were made through the discipline groups composed of departmental chairmen or their representatives from each university with an interest in graduate work in that discipline. While one or two discipline groups took the responsibility seriously and surveyed graduate programs throughout the province on a systematic basis, after two years it became clear that department chairmen could not be expected to take a wholly objective view of their own departments in relation to those of their colleagues. Under continuing pressure from the Committee on University Affairs and the government and as the overall funding of universities began to shrink in real terms, the COU established in 1971 an Advisory Committee on Academic Planning of the OCGS to organize planning assessments of each discipline with the use of outside consultants. A powerful spur to progress was the general embargo imposed by the government in 1971 on funding for any graduate program without students enrolled before May of that year until completion of the ACAP assessment for the discipline in question. The government provided one half of the considerable funding required for this continuing exercise

<sup>1</sup> Report of the Commission to study the Development of Graduate Programs in Ontario Universities, 1966, p. 6.

<sup>2</sup> Report p. 81

<sup>3</sup> Report, p. 83

We return to discussion of the substantive effect of the ACAP project on planning in Chapter V. It and other special studies, like those in health sciences and engineering, have examined important segments of university activity. However, a process for relating the parts to the whole has yet to be worked out in Ontario. As we shall point out in Chapter V, the ACAP exercise may end up with results for individual universities similar to those experienced in Quebec from the exercise in *grandes orientations*. However, systematic input from the government side has been lacking. While it has lent its sanction of the purse to the COU's appraisal and assessment systems, the government is clearly waiting to see what results appear from university action on recommendations of the ACAP reports. The pressure is obviously on universities to comply, but they have no assurance that such compliance will in fact satisfy the government's interpretation of the public interest.

In Ontario, as in Quebec, from time to time technocratic tendencies have appeared in the government and within the Council of Ontario Universities. Several years ago COU considered in a preliminary way the possibility of introducing a massive integrated provincial information system analogous to the CESIGU project in Quebec referred to earlier. The Department of University Affairs appeared to be interested not only in participating in such a system but also in controlling it. That particular wave of technocratic zeal appears to have passed off. There are still, however, throughout Ontario vestigial sparks of infatuation with method which could no doubt be fanned into flame by bureaucratic breezes from the proper quarter. It is hoped that practical concern for the effective use of available resources will move the new OCUA to dampen such tendencies wherever they may appear.

The new Ontario Council on University Affairs is intended "to act as a strengthened buffer between the government and the university system . . ." While the new Council will have wide-ranging advisory powers, it is not intended to exercise any executive responsibilities. Ontario will therefore continue to have an intermediary body which may serve as a partial buffer provided the government intends extensively to seek and to rely on its advice and to treat it as the main, if not exclusive, channel of communication with the individual universities. The new OCUA will have its own secretariat which will help it to develop position papers with a viewpoint which may be distinct from that of the Ministry. It will therefore have the capacity to produce independent planning documents of the kind outlined in Guideline 1.2.c. There appear therefore to be excellent prospects in Ontario for a fully articulated comprehensive and systematic long term planning process in which the major burden of activity will fall on universities individually and collectively.

#### *Western provinces*

Before looking separately at the four western provinces, certain general observations can be made:

- 1) until the expansion of the 60's no western province had more than a single provincial university;

<sup>1</sup> The Honorable J.A.C. Auld, Minister of Colleges and Universities *Legislature of Ontario Debates*. Estimates, Ministry of Colleges and Universities. Standing Social Development Committee. Thursday, May 30, 1974.

- ii) attempts to form effective regional collectivities have followed a pattern quite different from that in eastern Canada.

Informal Committees of Presidents exist in every province except Saskatchewan, where the division of the University of Saskatchewan into two separate institutions has recently been made. The Committee of Western Presidents (which has no secretariat) meets occasionally with the Council of Western Ministers of the departments concerned with post-secondary education in the various provinces.

The most formal attempt at coordination on a regional basis in the west was initiated by the three prairie premiers through the Inter-Provincial Committee on University Rationalization (IPCUR), a body established in 1965 under the auspices of the Prairie Provinces Economic Council (The Premiers of Manitoba, Saskatchewan, and Alberta). Initially, because of the different university and government structures in the three provinces, only the University of Saskatchewan was represented directly. The membership of IPCUR was gradually expanded to include representatives of all the universities and the separate campuses of the University of Saskatchewan together with six persons from governments or commissions. British Columbia sent "observers". In 1970, IPCUR acquired a part-time secretary to prepare documents and direct the affairs of the Committee. In spite of the presence of Deputy Ministers, the Committee was not able to establish a satisfactory channel of communication with the Premiers. As a result, after elections in Alberta and Saskatchewan in 1971, a Post-Secondary Coordinating Committee was established with ministerial as well as commission membership. It was thought that the presence of cabinet ministers created "a much better possibility for the necessary liaison becoming established".<sup>1</sup>

While some useful coordination of planning for library science and architecture was done under IPCUR auspices, few of its other initiatives bore visible fruit. It proved to be neither a university forum nor a credible joint university/government body. According to one senior western official "it died of suspicion".

It is, therefore, a fair generalization that western universities have not yet organized themselves to speak collectively on a continuing basis either at the provincial or regional levels, although, as we pointed out, the nucleus of a western collectivity exists in the informal committee of western presidents and could be developed if regional planning were to be encouraged by governments.

#### Manitoba

In 1967 the new universities of Brandon and Winnipeg were created and a Universities Grants Commission established. It was the clear intention of the government of the day to find a mechanism which would safeguard the proper autonomy of the universities and remove opportunities for improper political influence upon their funding and development. Both government and universities would surrender some portion of their previous freedom of action to this new body. Two of the members were experienced and respected academics. The Act establishing the Commission<sup>2</sup> specifically restricted the activities of the Commission to fiscal arrange-

<sup>1</sup> *First Annual Report of the Inter-Provincial Committee on University Rationalization From 1965 to 1972, p. 2.*

<sup>2</sup> Province of Manitoba. *University Grants Commission Act, 1967.*

ments for the universities. The Commission was, however, empowered to "study the needs of higher education", to "give advice and assistance to the universities and colleges in the preparation and implementation of plans", and to assure "that adequate post-secondary educational resources of the type normally provided by the universities and colleges are available to the citizens of the province without waste and unnecessary duplication". While the universities were to retain a "basic right" to "formulate academic policies and standards" the commission was instructed by the Act to withhold funds that would be used for new programs or the expansion of old programs until these had been approved by the Commission. The Commission was empowered to require a university or college to withdraw or terminate programs which the Commission felt to be redundant to the needs of the province but this power was never exercised.

The universities themselves established an inter-university appraisals committee on graduate programs and the UGC normally required a favourable verdict from this body before it would consider such new programs for approval itself. On the whole, a cooperative spirit has prevailed in relations between the UGC and the universities. The Commission urged the University of Manitoba in particular to strengthen its internal planning capacity and conducted dialogue with each of the universities. However, it did not succeed in getting government commitment to such long-range plans as the universities were able to develop. Following the change of government in 1969 there has been a tendency for the government to defer action on advice from the Commission and, to that extent, reduce its former status of a comprehensive buffer with executive authority to that of an advisory body.

The Committee of Presidents has met only occasionally and has sponsored certain cooperative arrangements for credit courses offered in the northern parts of the province. With only one big multi-faculty university and two much smaller and newer institutions, it is hardly surprising that the universities have lacked a strong thread of common interest which would compel them to a collective effort. In the last few years, moreover, it has been possible for individual institutions to make end runs around the University Grants Commission to obtain support for programs favoured elsewhere in government.

A Task Force appointed by the Manitoba government early in 1972 to consider post secondary education recommended in 1973 a new form of intermediary or buffer agency with broad responsibility for the whole field of post-secondary education. It now appears that the government intends to continue the existing University Grants Commission with some added responsibilities for the regional development of continuing education.

### *Saskatchewan*

Until 1974 Saskatchewan maintained a single provincial university with two campuses. The Board of Governors of the University of Saskatchewan had as two of its members the deputy minister of finance and the deputy minister of continuing education (the department of government responsible for university affairs as well as other forms of post-secondary education). In recent years, for a variety of reasons, the government became committed to independent status for the Regina campus.

This has meant establishing an independent coordinating body apart from the university itself to take over the role previously performed by the President's office and the Board of Governors.

Undoubtedly the rivalry of the two cities and the fact that the government is located in Regina while the Board of Governors of the University was predominantly in Saskatoon played a part in the government's decision. Whether the resentment of inferior status on the Regina Campus was justified, it was bound to make attempts at rationalization and differentiation of roles for the two campuses more difficult when the central university administration was strongly identified with Saskatoon. The Saskatchewan Universities Commission will be located in Saskatoon but apart from the campus of the university. It is to advise the minister of funds needed by the universities and to "act as an intermediary between the government and the institutions and *between the institutions*".<sup>1</sup> (Italics supplied). Presumably this does not preclude cooperative action taken on the initiative of the two institutions themselves.

### Alberta

In 1966 Alberta separated the two campuses of its single university into the University of Calgary and the University of Alberta situated in Edmonton. As in Saskatchewan, the separation was accompanied by the establishment of a Universities Commission to "act as an intermediary between the Government and the universities and between the universities". It was advisory to the government on matters affecting universities including total operating support. It was given executive powers to allocate operating grants to universities and was empowered to "reduce or avoid an undesirable or unnecessary duplication" where new or expanded programs were proposed. With respect to capital projects, neither the legislation nor practice established clearly the extent of the Commission's powers. The Commission had to consult with a committee of cabinet before approving capital projects. It was, however, the Commission which finally approved all projects and so notified the universities. Thus it was less than a comprehensive buffer but more than an advisory body. In 1966 the government also chartered a third university at Lethbridge. In 1970 planning work began for a new and innovative Athabasca University. Originally thought of as a campus centred institution, its purposes now are directed to developing and testing "self-instruction" materials for courses which will enable students to gain university credits through study at home. (See discussion of rationalization and competition in Chapter IV).

In 1971, a newly elected government appointed a separate Minister of Advanced Education. In 1973, the Commission was dissolved and the Ministry of Advanced Education was expanded to assist the Minister in taking over the functions of the former Commission. The Ministry, in its new role, embarked on an ambitious program of information collection for planning purposes. While consultation was stressed as an inherent part of the method, there had been little consultation about the method. And the prevailing adversary spirit, evident in both universities and government will have to diminish if constructive planning processes are to develop on a basis of mutual confidence. Despite a critical stance on the govern-

<sup>1</sup> An Act respecting the Saskatchewan Universities Commission, p. 5.

ment side, it appears that if the universities can demonstrate a positive response to the concerns of the department and the legislators they may be able to retain much of the initiative in planning their affairs. The Department of Advanced Education Act authorizes the Minister to appoint a number of advisory committees, including one on university affairs. These committees are funded by the department and have no independent status. The extent to which they will have a noticeable influence on the course of events remains to be seen. Much will depend on the appointments made to them. Undoubtedly the larger question lies in the relations which are established between the officials of the department and the various universities as the latter respond to the initiatives of the former. The big question in terms of the Canadian experience is the degree to which the absence of an intermediary body in Alberta will lead to direct involvement of the legislature in planning and in allocative decisions within the post-secondary field.

### *British Columbia*

Until a change of government in British Columbia in 1973, relations between universities and provincial authorities were more distant than anywhere else in Canada. A major planning study undertaken in 1962 by the then new president of the University of British Columbia resulted in legislation the following year creating Simon Fraser University and the University of Victoria. An Advisory Board, representative of the universities and the Ministry of Education was established to make recommendations to the Ministry on the financing of the universities. In recent practice this has meant that the universities themselves have reached agreement about a division of the total funds made available by the government. The Act of 1963 also established an Academic Board dominated by representatives from the universities. Among its purposes was "to advise the appropriate authorities on orderly academic development of universities established under this Act and of colleges established under the *Public Schools Act* by keeping in review the academic standards of each . . ."<sup>1</sup>

In practice the Academic Board has been primarily concerned with ensuring that standards of university equivalent work are maintained at a level sufficient to ensure a smooth process of transferability to university for those students who take their initial year or two in one of the community colleges. Except for Quebec where the system requires Quebec students to pass through a CEGEP before entering university, British Columbia is the only province to have, in effect, a smooth running junior college system which offers students two routine channels of entrance to universities - i.e. either direct from high school or via one or two years at a local college. In Alberta, steps have been recently taken to ensure automatic transfer to universities after satisfactory performance in prescribed college courses.

Apart from the matter of transferability there has been little formal coordination of the plans of the three B.C. universities on a province wide basis. No government approval has been required for new programs. Government grants have been made in lump sums and the universities have preferred the independence which past government indifference to their programs has ensured even if the level of grants was often disappointing.

<sup>1</sup> Province of British Columbia *Universities Act*, 1963, c. 52, s.1. Part VII, 82, (b).

Like the other western provinces, British Columbia has experienced a recent change of government, and this has resulted in more active relations between universities and government and a more conscious coordination of effort than in the past. A University Government Committee appointed by the Minister of Education recommended that "an intermediary body known as the Universities Council is necessary in British Columbia for the reconciliation of public accountability with university autonomy and to ensure a greater sensitivity to social needs in the development of university education."<sup>1</sup> From the point of view of the discussion which follows in later chapters it is particularly interesting that the Committee report recommends specifically that the Council be empowered "to require the universities to consult with each other on actions which might be taken to minimize unnecessary duplication of facilities and programmes of study and to report to the Council from time to time on what action has been taken".<sup>2</sup> This is a formal statement of the policy followed by the Committee on University Affairs in Ontario of prodding the university collectively to initiate planning processes relating to specific problems. Legislation creating the Universities Council was passed July 1974. A full time chairman was appointed in September.

### *Conclusion*

In these brief descriptions of existing structures we have drawn attention to a few selected points which have a bearing on the theme of this study — long term planning. These points have provided illustrations of recent planning processes. There have been other planning activities to which we have not referred. Yet the sum of all this activity is substantially less than what is required if the lacks referred to in Chapter 4 are to be made good. There is a fundamental lack of agreed goals and purposes which stems from a failure for the most part to examine fundamentals and to have agreed systematic ways of doing so. Distrust, lack of mutual confidence and lack of communication are self-reinforcing in the absence of agreed procedures and processes. In some cases too much uncoordinated planning activity can produce as much confusion and frustration as none at all.

In general, the roles of individual institutions have been ignored or taken for granted both by the governments and universities concerned. Planning has focussed on discrete problem areas. Only in Quebec have there been the beginnings of a systematic and visible review of institutional goals and a continuing attempt to reconcile them with the needs of a total provincial system. In Ontario, major initiatives have been taken with respect to some of the professions and graduate work. As we point out later, the ACAP assessments can lead to a process of role definition for the universities of Ontario, but have not yet done so. No doubt the long term planning problems of Ontario and Quebec appear to be more urgent than those in small jurisdictions and it is therefore good that they have moved some distance in the direction of systematic planning. As the Report of the Royal Commission on Education, Public Services and Provincial Municipal Relations in Nova Scotia has made clear, however, the lack of adequate planning processes can be equally unfortunate

<sup>1</sup> Report of the University Government Committee to the Hon. Eileen Dailly, Minister of Education, Province of British Columbia, May 2, 1974, p. 21.

<sup>2</sup> Op. cit. p. 24.



and wasteful in smaller provinces and regions. We have tried to make clear that the guidelines for planning suggested in Chapter I can be adapted to varied circumstances.

Keeping in mind a selection of recent experiences within the various provincial frameworks, we will turn in the next chapter to what, in our view, long term planning is and how it relates to other kinds of planning.

## Long-Term Planning: Approaching a Definition

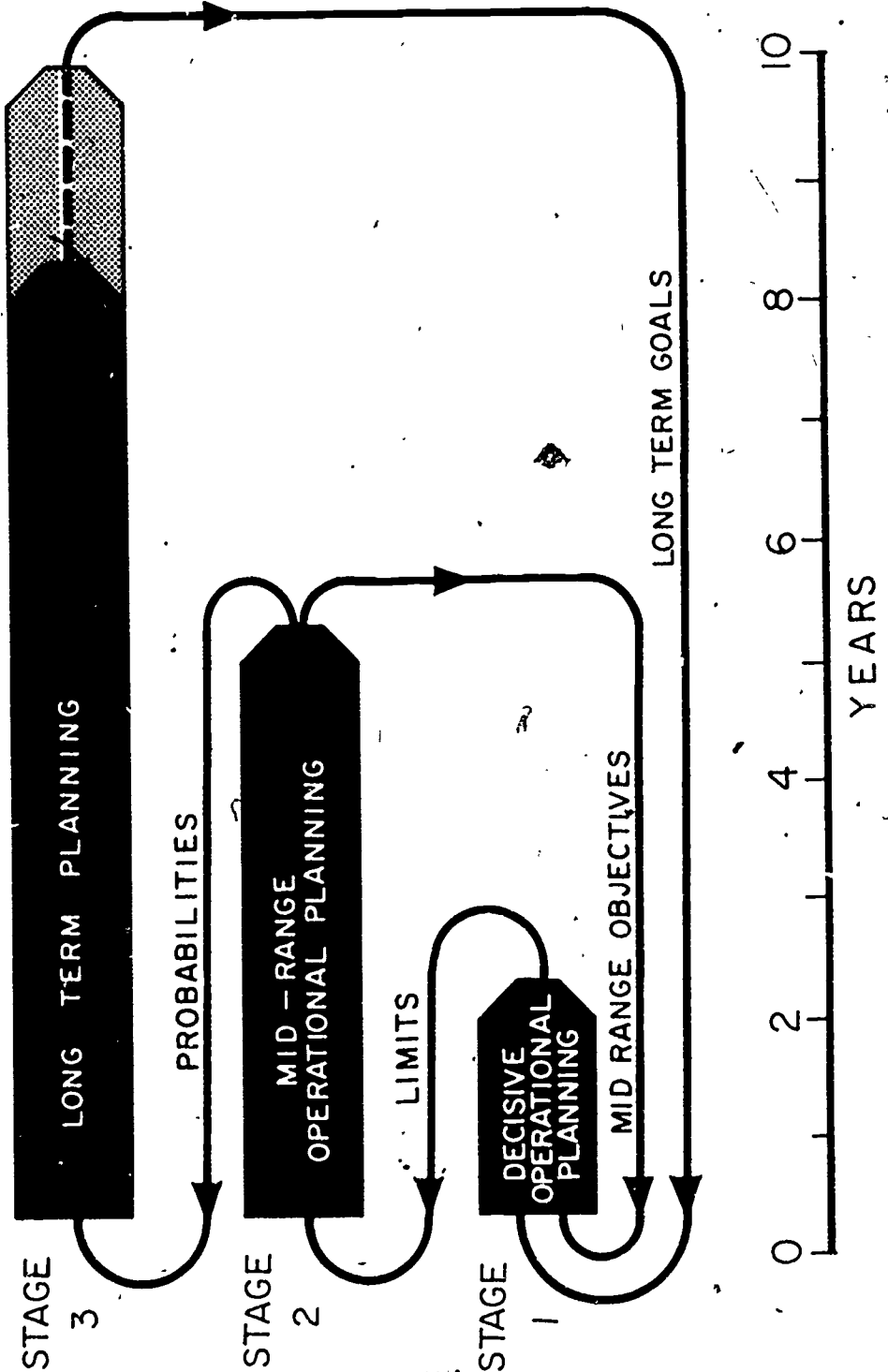
One of the difficulties in approaching the subject of planning is that there are many factors to be considered and it is impossible to deal with more than a few at a time. We have now looked very briefly at the kinds of structures which are in place in various jurisdictions. Before we discuss further the planning processes which occur within the structural frameworks outlined in the second chapter, we must recognize that notions about planning vary greatly. If the following discussion is to be understood we must make clear what we think planning is and is not.

### *The nature of long term planning*

We see long term planning as being concerned with basic matters of policy — what to do — rather than the detail of implementation — how to do it. At the same time, approximate judgements about feasibility are an integral part of long term planning as are the details of the consultative planning machinery itself. We also view long term planning as a continuing, dynamic process. No part of a long term plan is ever “set in concrete” until exigencies of implementation move it into the medium and short term planning phases for execution. It follows that long term planning involves regular reevaluation and readjustment in what is sometimes referred to as an iterative process.\* More specifically, long term planning is the process by which general goals can be identified, articulated and made ready for translation into substance. As planning of this kind proceeds, organizational problems will in turn have their effect in redefining objectives. As planning gets closer to the operational stage and moves into it the modification of operational objectives intensifies.

\* Iterative is a word which has found a place in the current jargon of planning simply because of its utility in making reputable and guilt free the purposeful indecision characteristic of good planning. People tend to be conditioned to planning as a decisive activity and feel or are made to feel when, perforce, “plans” change that they are guilty of that most atrocious modern sin, “indecision”. Long-range planning is not decisive in this sense. It involves continuous reconsideration. It is, to be sure, affected by decisions which result in action, but in itself it is not decisive. “Iterative” is useful because it systematizes and legitimizes a process otherwise tainted with “indecision”.

Figure 3 Illustration of planning definitions



### NOTES ON FIGURE 3

- Stage 1. Encompasses operational budgeting for one year or two years depending on estimate of revenue available, student aid and support; enrolment forecasts; submission of research projects.
- Stage 2. Encompasses the period of advance planning required for construction of new buildings and facilities; initiation of new programs, review of academic regulations and admission requirements, assessment of research results.
- Stage 3. Encompasses the period for review and articulation of educational purposes, accessibility to students; definition of institutional size and role; research and community service policies. Normally a cycle of between five to seven years with a range of 10 years ahead, or more.

Frequently the exigencies of operation bring the institution or organization into conflict with the over-arching general goals articulated in the policy which gave rise to the entire sequence of activity. This phenomenon is observable in recent times in the development of several new universities in the English speaking world. It is not unknown in other spheres of public endeavour.

The process just outlined is familiar to those acquainted with planning, designing, and constructing an institutional building. The broad goal is to provide adequate space for a number of specified users.

Planning involves those users in defining their own objectives in terms of their several programs and the ways in which the building can serve them. Proximity analyses, dirt and noise factors, traffic patterns together with site and cost constraints require compromises and redefinition of objectives. In spite of great care in planning, however, major renovations are often required after a year or two of operational experience which shows that the building is, in some ways, unworkable or intolerably inconvenient. Once again, objectives are rethought. Less major inconveniences become built into the operation.

If physical planning is so replete with compromise and is so often out of tune with original objectives, it would be unrealistic to expect organizational and other kinds of planning to be different either in process or outcome. Steel and concrete once in place are relatively intractable and dissatisfaction with the result has to be serious before failure is admitted and the cost of change contemplated. Planning outcomes of other kinds can be more easily modified because people can, in theory at least, be more easily reassembled than can buildings. But the fact is that organizational machinery quickly develops a powerful inertia and unless special steps are taken to continue the iterative process through the initial stages of operation new objectives can replace the original ones unobserved.

We have implied that planning is a continuum. It can be divided arbitrarily into

- 1) a decisive operational phase in which actions are taken with results which will be observable from the present up to two years ahead;
- 2) a mid-term operational phase concerned with what will happen up to five years ahead;

- 3) a long term phase concerned with broad goals for the period five to ten years ahead.

In reality, each phase blurs into the next and each interacts with the others. The concept is illustrated in Figure 3 (page 44). The specifics in each case are listed in the accompanying notes (page 45).

### *Long term planning in universities*

Let us apply this general concept of planning to universities. It would be fair, from observation and experience, to infer that successive governments in each of the provinces and in Ottawa have agreed on a general goal which could be stated hypothetically as follows:

Canada should have a system of universities and other post-secondary institutions which will serve the nation as a whole as well as each of its provinces and regions: in particular the collective quality of universities should be consistent with Canada's position as a modern, industrialized country with a high standard of living: individuals who have the capacity and desire to benefit from attendance at a university should be able to do so without geographic or financial impediment.

Such a general policy goal answers the question - what to do? In the 1960's the answer to the further question - how to do it? was a remarkable expansion of student places. In that simple time the answers to the two questions were the same. Every existing institution was provided almost entirely by governments with the means for expanding its physical capacity. Two dozen or more new institutions were created either *de novo* or through the transformation of existing colleges. The major planning objective was to provide for three times the former full time student enrolment. Governments were almost unanimous in giving this objective a high priority in competition with resources required for the implementation of other general policy goals. The growth which occurred met immediate and pressing needs

Toward the end of the 1960's, it became clear to universities and governments that other objectives now had to be given priority. The answers to what? and how? became uncertain and divergent. Further expansion of universities was to be selective rather than general, unnecessary duplication was to be avoided, and the possibility that standards had been eroded during the period of rapid expansion was to be reviewed and remedial action taken as indicated. Thus planning took a turn perceived by many in universities as wholly negative. This perception was reinforced by a substantial reduction in the real resources available to most universities in a period of continuing inflation. New government priorities would mean revising the expectations of most of the institutions concerned. Planning processes would be required to reconcile the revised expectations of universities. Some of the expectations of governments about the extent to which unnecessary duplication could be eliminated were at odds with the practicalities of particular situations as seen by universities. Expectations about the possible degree of "rationalization" as viewed by a department of education or university affairs were related mainly to student numbers and were sometimes at odds with policy objectives of other departments of

the same government. Because universities are more than teaching institutions they contribute to public objectives in other areas and must be planned accordingly

### *The need for long term planning*

In this study we are concerned with the interaction of universities and governments in the planning of universities particularly for the longer run. By nature universities are durable institutions. They need to be durable in order to weather the short term vicissitudes of social and political change in the societies which nurture them. The institutional attributes which make them durable also make them slow to respond to change even when the need to change is perceived. A conscious process of long term planning is therefore in part a preparation for mid term and short term planning as defined.

Universities are self-governing in their internal academic affairs and live in an external environment which affects their actions both directly and indirectly. These effects are visible to universities in the short run as for example in the annual operating grants provided by provincial governments and in the grants for research from the specialized agencies of the federal government. They are visible for the mid term in capital grants made or withheld.

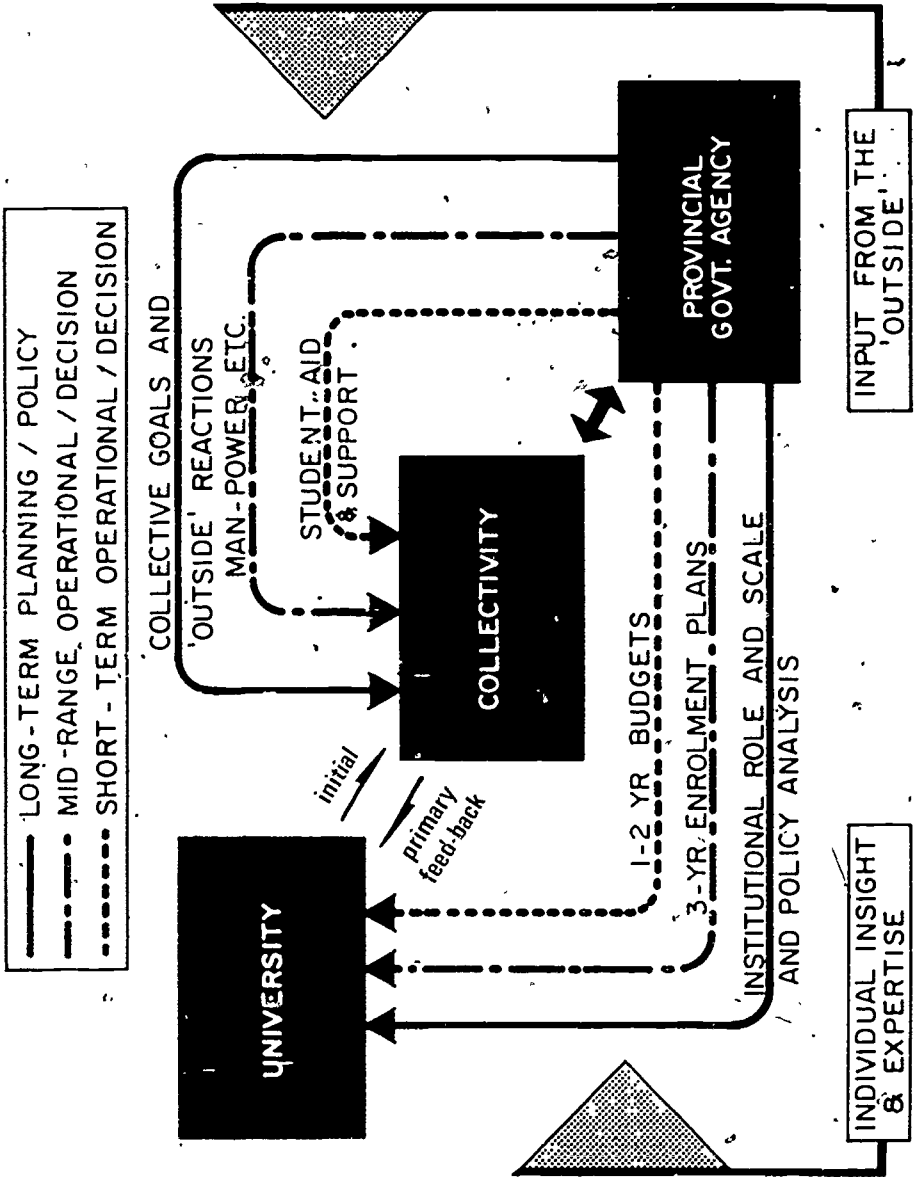
It is harder for universities to read the impact of external influences for our purposes of long term planning. Yet a university must, if it is to act responsibly, define the sort of place it plans to be or to become in the longer future if only because of the time required to effect change. For example, the lead time required for bringing into being and producing graduates from most new faculties or programs is at least five years and for a faculty of medicine nearer ten. Does it want to be bigger? Can it attract more students? Does it have space to expand physically? How is it affected by and does it in turn affect other neighboring universities? Does it want to continue its present programs? Add new ones? Expand some, contract others? Is student demand likely to affect the university's choice? As a university looks ahead these are questions it will be trying to answer. It is, in other words, trying to define a role for itself and to differentiate that role from others in a logical way consistent with its interpretation of the public interest. To do this, a university needs to have the means of consulting other universities, provincial governments and federal agencies. Differentiation and definition of role is a dynamic and continuous process which interacts with mid-range and decisive operational planning as described above. All these levels of planning also interact as we have noted with each other.

### *"Planning is communication"*

Productive interaction depends on effective communication. The Society for College and University Planning took for the theme of its conference in 1972 in Toronto "Planning is communication". When we talk about planning processes we are talking about communications processes. These involve much more than the exchange of information. Individual assumptions and ideals also need to be at the forefront of the process.

Figure 4 (page 48) shows how the various institutional participants can interact in relation to each of the planning stages described in figure 3. The communications processes we are examining are not altogether independent of particular struc-

Figure 4 A university/government planning system



ures. For purposes of figure 4 we are assuming that a government agency with a planning capability can act on behalf of government. Such an agency could be a ministry or department of a provincial government or an intermediary body to which certain responsibilities had been delegated. We also assume the existence of voluntary collectivities of universities where there are too many institutions within a provincial system to allow effective informal communication among them. In an iterative process, communication takes time. Each step in the necessary sequence has a substantial duration.

#### *How the iterative process might work*

Using figure 4, let us take the example of a single university formulating its long term intentions (Stage 3) in the context of current operational decisions (Stage 1) and mid-term forecasts (Stage 2). These intentions would be expressed in enrolment projections for major existing and proposed academic programs. Assumptions on which projections are based would be stated and reasons given for initiatives to be taken during the planning period. Each university would share its first formulation of intentions with other universities through the offices of the collectivity and in this way would receive information about the plans of other institutions (primary feed-back). As a result, a single institution might revise its preliminary intentions at once or it might decide to let them stand.

The next step in the process would be for the plans of individual institutions, together with planning suggestions from the collectivity, to go forward to the agency of government. The agency's job is to compare the plans overall with stated policies of government and with the goals and needs of society (as they can be inferred or identified from an objective reading of society as a whole). On the basis of this comparison the agency would offer preliminary judgment about the adequacy of the total scale of activities and services to be offered by the universities, and the appropriateness of the roles selected by each. The agency might point to specific factors arising outside the educational system which had not been adequately reflected in university intentions. Such comments and suggestions (outputs) from the government agency would be fed back as inputs to the individual institutions directly or through the collectivity, depending on whether they are specific to an institution or affect all institutions equally. Modified plans would be submitted again until agreement was reached all round or until the agency felt that it was necessary to settle on an overall plan for scale and institutions' role despite the continuing reservations of one or more institutions. For it is not the purpose of such a continuous process to produce interminable discussion but rather to produce specific outcomes which will be discussed more fully in Chapter V. In the example given here the process should produce, at regular intervals, a five or six year enrolment projection (statement of intended scale) and a shorter rolling two or three year enrolment forecast (predicted scale).

What we have described is iteration of the macroplanning process summarized in Guideline I. Many sub-processes affect the formulation of the university plan as well as the responses of the collectivity and the government agency. There may involve other bodies not shown on the diagram such as professional associations, accrediting agencies, granting agencies of the federal government, and so on. We have more to say about some of these other important planning interfaces. Our pur-



pose here is to illustrate simply how iteration could work systematically if it were agreed to be a useful and orderly way of proceeding.

Not all processes involved within the framework of figure 4 would be continuous. Some might be periodic, occurring at intervals of four to seven years. (For example, review of methods of funding operating and capital expenditures.)

With the partial exception of Quebec (where processes cannot be said to be firmly established), this kind of systematic process involving fully iterated planning for the longer term (Stage 3) does not exist in Canada. This does not mean that no planning is done. It is, however, not done systematically and universities and governments share few common expectations about the way planning should proceed.

Furthermore, a formally iterated system of the kind described here is possible only where there are informal sub-structures and communication networks built on a basis of mutual trust and confidence. These in turn depend on the extent to which basic assumptions are shared by those involved.

#### *Who is involved in planning and how?*

Before considering the part played by professional planning staffs in universities and in government we shall look at the role of university faculty and academic administration staff.

#### *Role of university faculty and staff*

Within the university all faculty and students and academic administrators are potentially involved in planning through the participatory and open nature of university government as it has evolved in Canada. In fact, few members of the university community become actively involved unless a major change is contemplated which a sector of the community decides to resist. Because of the opportunity of participation, however, all members of the university share responsibility for planning activity. University people can also be involved specifically and directly in planning on behalf of governments and university collectivities. Possible roles can be described as follows:

- a) Appointments to buffer and intermediary bodies.

It is common for university persons to be appointed to such bodies along with lay members of the public. Faculty associations are often invited to submit lists of acceptable names as are universities and university collectivities. In some cases it has been common practice to include one or two, sometimes more, senior university administrators in the membership of these bodies. While there can be no denying the value of the experience and breadth of view which such persons bring to the deliberations of a buffer commission or committee, we do not think it advisable to appoint those currently holding senior office. The strains of wearing two hats can sometimes impose unfair burdens on the individuals concerned and also can impair the credibility of the buffer. Fortunately, since term appointments to senior administrative posts in universities are now usual, there is likely to be an adequately large pool of persons with this kind of experience from which appointments can be made.

- b) Other roles. University staff may participate in the system planning process

either directly or indirectly in a number of ways:

- i as *ex officio* members of system-wide committees of deans, academic vice presidents, heads of departments, etc;
- ii appointed as representatives of their universities on special task forces separately or jointly struck by the collectivity, the intermediary body, or government department;
- iii appointed to such task forces as individuals with special understanding and knowledge of universities, but not as representatives of a single institution;
- iv as specialist consultants appointed by government departments or agencies to advise on particular matters;
- v as individuals pursuing academic research which bears on current problems of universities.

The participation of large numbers of university people in the planning system is essential. There are, however, some aspects of this participation which bear further study and thought. For example, in a later section we suggest that assessment procedures organized by the universities themselves rather than directly by governments are likely to produce more acceptable results. We suggest that this is so even if exactly the same people are involved. An individual acting within a university-organized assessment procedure finds himself in a familiar peer group situation. On the other hand if the work is organized directly by the government or its agency, the same individual appears to have a status apart from and superior to that of his colleagues whose work and interests they are judging. We suggest that the psychology of the two situations is different and worth consideration.

In a consultative planning system, it is also important for university people involved on the university side to remain conscious of their university identification, whatever other roles they are called upon to play. This is not a call for special pleading nor does it suppose unanimity of view among university people. To the contrary. It imposes upon university people the obligation to bring forward their criticisms and suggestions for the system as a whole *within* the processes of their individual institutions as well as through the system wide process in which they are involved. There is much evidence that a great majority of faculty today remain, if not hostile, then oblivious to the need for system wide planning. If the planning of individual institutions is to proceed in harmony with the needs of the system, a larger number of faculty members will necessarily become engaged and informed. Autonomy cannot be protected in the absence of an adequate planning process. That is why it is important for faculty involved in system planning in one of the ways outlined not to compartmentalize this role from their responsibilities for planning within their institutions. Only by ensuring that activities at the two planning levels interact through individuals can the process be opened up, understood more widely and made less threatening to the university community.

#### *Role of professional planning staff in the university*

The staff we are concerned with here are those in the university whose efforts are primarily devoted to Stage 3 of the planning process as we have described it. In

most cases larger numbers of staff will be concerned with operational planning for Stages 1 and 2. In some cases such persons will be wholly located in operating departments of the budget or physical plant, some may work side by side with Stage 3 planning staff in a central office. Organization will differ from one university to another.

The role of Stage 3 planning staff is to facilitate the process of planning by doing the staff work, the research, much of the informal communications with staff of the collectivity (where one exists) and the government ministry or agency, and making sure that all the important questions get asked as plans are formulated. Planning staffs will include persons capable of data collection and analysis, but Stage 3 planning is not itself a technical skill and the planner needs to keep in mind that he is not a planning "expert" in the sense that he has access to solutions not available to others. Thus it is important that, whatever their technical background may be, Stage 3 planners be perceived and perceive themselves as generalists rather than specialists. They do not plan. They assist planning.

Stage 3 planning staff also have an auditing role which is implicit in the kind of process which we have been describing. The auditing function is crucial to a well articulated planning process within a university. Ideally, Stage 3 staff should perform both a pre audit and a post audit function in the sense that they are invited to comment on operational plans at Stage 2 and Stage 1 to ensure that long term consequences of a proposed action are fully appreciated before the decisions are finally made. The post-audit function is simply one of pointing out after the fact, foreseen or unforeseen consequences for the long term plan of actions already taken, and initiating consideration of remedial action which would put the university back "on course". If, instead, a change of course for the longer run is indicated, the planning staff are then responsible for working out the consequences and presenting them for discussion and approval during the next iteration of the long term plan.

Within universities, if long term planning in terms of size and role is done carefully operational administrative planning for Stages 1 and 2 will largely flow from it. Nevertheless, operational exigencies may distort the long range plan unintentionally unless the auditing function we have described is in place.

The role of the Stage 3 planner will often bring him into contention with the Stage 2 and Stage 1 planners whose imperative will be to "get on with the job". Thus the planning process is less likely to be served effectively if a single individual is required to carry simultaneous responsibility for all stages. Depending on the size of the university, the long term planning function can be the part-time responsibility of a senior academic or administrative person.

#### *Role of planning staffs in government*

The role of planning staffs in government is likely to be more complex both horizontally and vertically. A number of provincial governments have planning secretariats or equivalent mechanisms covering the whole field of social policy including education. The purpose of such secretariats is to provide long range policy perspective and assist governments in establishing priorities among broad policy goals. Usually, however, such Stage 3 planning in governments tends to be divorced from Stage 1 and Stage 2 planning and from operations carried out in working depart-

ments or ministries responsible for university affairs. It is completely divorced from universities as institutions although individual university people may have consulting roles. Furthermore, long range financial forecasting is normally a function of the treasury board or its equivalent. The department concerned may provide information to the treasury board, but it is by no means certain that the assumptions upon which treasury board projections are based are reviewed with the university ministry. Such review seldom, if ever, involves the participation of the universities themselves.

Some intermediary bodies have attempted long term planning with respect to role differentiation, as noted earlier. Generally speaking, however, governments and their agencies have lacked a Stage 3 planning capacity for interacting authoritatively and systematically with Stage 3 planning in the universities. The fact is that planning staffs of ministries and intermediary bodies (where they exist) have been swamped by the demands of operational and capital budgeting and, except in Quebec, there has been only sporadic and unsystematic response from government bodies to long-term planning initiatives of the universities themselves. We look at the consequences of this in the final chapter.

## Values in Planning

Policy making and long term planning depend on the combination of two elements.

First: the technical base which roots planning in the empirical world. This includes combined analysis of facts which are as certain as anything can be about the future (e.g. population statistics) and observable behavioral trends.

Second: a value system which includes assumptions, basic premises, broad goals, ideals, all of which play a part in arriving at judgments.

Items of individuality implicit in the second element can be lumped up as assumptions and attitudes. Unless their existence is explicitly recognized, communications are muddled and planning becomes more difficult than it need be. Much of the sense of floundering at cross purposes characteristic of relations between universities and governments arises from a failure to recognize and come to grips with fundamental differences in basic assumptions. These tend not to get specific attention because they are so self-evident to those who hold them that they do not appear as agenda items for debate.

Four major areas of confusion - cleavage is perhaps too strong a word - illustrate the point.

### 1) Goals

The first concerns the degree to which basic goals are within or external to the Stage 3 planning process itself. Is Stage 3 planning directed only to implementation of given fixed goals? Or are the goals themselves subject to alteration through the iterative process? As we see it, the answer to the first question must be no and to the second question yes. Because Stage 3 planning begins the process of translating general goals into action those goals must be subject to alteration or the iterative method must be abandoned. In the latter case we would find ourselves with a totally different kind of planning - a technocratic top down rigidly structured hierarchical planning in which goals are "given" and the planning process emphasizes the technical base - the collection, manipulation, and extrapolation of large masses of quantitative data. In this kind of planning, it is assumed that the value system is reflected in the goals as given and that is the end of it. There are certain kinds of

activity for which the technocratic model is excellent – for example putting a man on the moon. The goal is clear. It is not part of the planning process to debate why, it is concerned only with how. Decisions about alternative “hows” can be made almost entirely on technical criteria. On the other hand, the goals of universities as defined by themselves or as implicit in government policies of financial support are diffuse and can be given substance only in relation to a rapidly changing social context. In the long term planning process, they will need to be examined and re-examined in the light of operational experience and fresh observation of the social and political scene. For universities in Canada, a fundamental reason for a process of long term planning in effective interface with governments is to provide for systematic monitoring of the value system which governs choice.

Our concern in this study is with process. In order to illustrate the other two areas of confusion, however, we must refer in the following discussion to issues of substance. We include it in support of the view already expressed that basic assumptions about values must be explicitly included rather than implicitly excluded from the planning process.

## 2) *Laissez-faire competition versus rationalization and co-ordination*

Competition is the main-spring if not the primary value of our economic system and is reflected in much of our social activity. Education is no exception. When most of the money for an activity comes from government, however, there are obvious limits to the degree of competition to be encouraged or permitted

There is ample evidence that universities and governments accepted the desirability of some degree of rationalization and coordination at an early stage of the expansion of the 1960's. The establishment and development of the intermediary-bodies referred to earlier in every case recognized implicitly if not explicitly that a “system” had to be planned and that the elements of the system would be differentiated in various ways. Yet the principles on which rationalization was to be achieved were not generally discussed in enough detail to have operational significance. Nevertheless, actions were taken which did have operational significance

At the same time, the independence of individual universities was valued and incentives provided for them to pursue individual goals. The document establishing the Ontario Grants Formula,<sup>1</sup> approved by the Minister of University Affairs late in 1965, noted as a main advantage of the formula that it would

obviate the necessity of detailed scrutiny of university operating sub-missions. The granting body can thus turn more of its attention and energy to major questions of the overall level of support, *the coordination of long range planning, . . .* (Italics supplied)

Major advantages for universities would include

. . . a more certain basis for university planning, . . . maximum incentive for effective management and [would] allow the *healthiest kind of competition* amongst universities for achievement. (Italics supplied)

<sup>1</sup> “A formula for operating grants to provincially assisted universities”. In *Report of the Minister of University Affairs 1967* to the Lieutenant-Governor of the Province of Ontario. Toronto, 1967. pp. 98-105

Thus "healthy competition" was regarded as good while the coordination of long range planning was seen clearly as the responsibility of the intermediary body on behalf of government.

Everywhere in Canada concern for rationalization focused on avoiding "unnecessary duplication" of programs. Graduate studies, engineering, health sciences, library science, veterinary medicine - such specialized graduate programs and first degree professional programs came under scrutiny across the country. These were, in general, relatively high cost programs in which manpower needs could, theoretically at least, influence the scale of enrolment to be provided for. Attitudes favouring rationalization did not, in general, extend to general arts and science or to honours programs, although some of these in fact involved a degree of specialization equivalent to some first professional degrees. Little attention was given to rationalization of teacher training facilities in relation to manpower requirements.

Positive attitudes toward rationalization as described resulted in procedures in every jurisdiction for reviewing new programs before they were approved for funding by the governments concerned, and, in special cases, existing programs came under review.<sup>1</sup> In the western provinces, the now disbanded IPCUR (see page 37) achieved only minimal coordination on a regional basis. In the Maritime provinces, however, individual governments relied largely on the recommendations of Committees of Academic Vice Presidents in deciding on support of new programs. The duties now assigned to the new Maritime Provinces Higher Education Commission make clear the established attitude that each university and campus in that region has a role complementary to the others in meeting the needs of the individual provinces and of the region as a whole.

Although government attitudes across Canada assume the need to rationalize so far as planning programs is concerned, they remain very much at the *laissez faire* end of the spectrum in competition for students. There is no doubt that the downturn in student demand for university places during the past three years has intensified the competitive efforts of universities to attract students. This competition has been intensified where formula systems of finance based on student numbers have been in effect. Governments generally appear to have taken the attitude that it would be politically unacceptable to curb the freedom of students to seek admission at the institutions of their choice in order to achieve optimum distribution or to curb the attempts of universities to attract students by monetary inducements.

The government of Ontario, soon after it introduced formula financing, ruled that universities could not use funds derived from the formula for student aid purposes. The government of Ontario, in consultation with the COU and its appropriate subcommittees and the Committee on University Affairs, also limited the permissible total earnings available to graduate students. The government of Ontario has not, however, moved to curb the large expansion of scholarship offerings which Ontario universities are now making available from private resources.<sup>2</sup> This is pre

<sup>1</sup> Engineering in Ontario, Saskatchewan, Nova Scotia, Quebec, and graduate programs generally in Ontario, basic sciences and health sciences in Quebec.

<sup>2</sup> The Ontario formula encouraged private donors by the assurance that their gifts to universities would not be subtracted from the government grants to which a university would be entitled under the formula.

sumably the kind of "healthy competition" foreseen in the formula document quoted above. That substantial private resources should be diverted to these purposes while every university complains that it has less than it needs in order to do an adequate job is one of those paradoxes which will interest future students of university development. Questions about the less beneficial aspects of competition for students have recently been asked in the Ontario legislature.

Competition for students is particularly intense in the Maritimes and is not mainly a matter of special scholarship offerings. The Nova Scotia universities make it possible for a New Brunswick student leaving grade 12 to get an arts degree in three years at a Nova Scotia university while it takes him four at a university in his own province. Whether the new buffer bodies in the Maritimes and Ontario will seek to change current *laissez-faire* attitudes about competition for students is for the moment an open question. Nowhere does the freedom of the individual student to choose his university or the freedom of the university to choose the student appear to be at issue. The issue that is unresolved is the range of non-academic inducements which may be used legitimately to influence individual choice. The issue is one of values and is difficult to resolve. It is all the more important that it be on the planning agenda.

In Quebec, attitudes and assumptions about competition versus rationalization are perhaps even more varied and complex. It appears that both the Ministry and the Council favour comprehensive rationalization as a goal for planning, although both appear to be realistic about the extent to which "over-supply" in certain programs can be reduced. The Council strongly recommended that the anglophone universities should develop on a complementary rather than on a competitive basis. The universities have accepted the recommendation in principle, although they find its implementation as painful as it seems to be everywhere else.

The francophone institutions present a picture not yet altogether resolved. The creation of l'Université du Québec with several campuses had the initial effect of diverting some students from established universities, and this aroused considerable competition. This was perhaps not the result anticipated when l'Université du Québec was created.<sup>1</sup> The effect of the vigorous "counter-competition" from the established universities has been to put the enrolments of l'Université du Québec in jeopardy. The intention now is that l'Université du Québec should be rationalized within a single system and should not develop as a separate system in competition with the other universities.

Quebec offers the best instance in Canada where the potential for establishing two competitive systems of university institutions has arisen, although it has now been abandoned. Another potential situation now exists in Alberta with the creation of the University of Athabaska, but it remains to be seen whether it will develop as

<sup>1</sup> The original notion that l'Université du Québec should become an umbrella multi-campus institution on the model of the University of California was not implemented. It would have become "the most influential body in the coordination of higher education in the province". Universities of Canada in *Commonwealth Universities Yearbook 1972*. London 1972, p. 693. As now developed, l'Université du Québec is responsible only for the coordination of its own campuses and institutes.



a full fledged competitor or whether it will be complementary to the other institutions in meeting the needs of part time students in remote areas who are beyond the normal constituency of the universities.

In relation to the possibility of competing systems in Canada it is interesting to note that in recent years, Britain made two departures from the concept of a single system of universities. First the Council for National Academic Awards was established to ensure the quality of degree programs at the polytechnics, then the Open University was established to provide an altogether different kind of opportunity for students who had been denied earlier opportunities for university education or who wished to upgrade their university qualifications. If the single system concept had prevailed in Britain, both the CNAA and the Open University would have been brought into a close relationship with the University Grants Committee, if not placed within its jurisdiction. The United States offers many examples of systems or groups of privately funded institutions which are in competition with the publicly supported state systems. Thus it is quite possible to conceive, at least within the larger jurisdictions in Canada, of more than one system of universities with each system rationalized within itself yet competing with the other. This is perhaps an unlikely development, but the early history of l'Université du Québec, the University of Athabaska, and the yet unresolved nature of university participation in the so called "open sector" in Ontario leaves open at least the possibility of competing systems.

Notwithstanding such possibilities, the prevailing mood is one of rationalizing programs rather than encouraging competition. Yet rationalization achieved to date has been very much at the margin and universities and governments share a disposition to move slowly where more drastic rationalization would offend strongly vested interests in universities or in the communities where they are situated. There are few indications that the rationalizing spirit will extend into the sensitive area of privately funded scholarships and other student aid.

### 3) *Accessibility and equal opportunity*

As we have seen, universities are restricted in their competition with each other on a purely pragmatic basis and on grounds that public money should not provide more opportunities for students than necessary. When we come to the matter of making it feasible for students to seize these opportunities, we enter an area of assumptions and values where cleavages are deeper. The resulting conflict and confusion is manifest in the development of public student aid policies. Here fundamental assumptions tend to be lost in general rhetoric about equality, equal opportunity, accessibility, and social mobility. Rhetoric which seldom specifies the meanings attached to such words. While debate tends to focus on the best technical methods of assessing parental income, "true costs" of instruction, and the "best" mix of loan and grant, assumptions underlying the rhetorical goals get less attention than they deserve. Furthermore, assumptions can shift dramatically in a short time.

The Bladen Commission<sup>1</sup> in 1965 included a well balanced discussion of various views about the pros and cons of the extreme possibilities in providing stu

<sup>1</sup> *Financing Higher Education in Canada. Report of a Commission to the AUCC. Chairman V.W. Bladen, 1965*

dent aid (full non-recoverable grants to all students covering all expenses versus subsidized loans placing full burden on individuals). It was assumed that equal opportunity for all able students should be the goal of the system. The desired end was not in doubt, although the means were. We now find in the preliminary study *Does Money Matter? : Prospects for Higher Education*<sup>1</sup> that the proper goal of society and of student aid systems is equality of condition. All expenditures on student aid so far provide no more than a "patchwork for a society devoted to inequality". The authors are gradualists. They make it clear that they do not think the elimination of inequality of condition is a goal of the present Canadian society, but they assume that it ought to be and their analysis proceeds from this assumption.

The authors of *Does Money Matter?* recognize that inequalities cannot be dealt with only through educational reform and by providing universal accessibility to higher education. "Other solutions must accompany education reform. For example, one solution would be for income differentials to be much less, so that there would not be such an economic advantage for further education or other fair or foul uses of talent. For the bright to be overly rewarded is an exploitation of the less bright, a situation which is difficult to justify."<sup>2</sup> It appears to be assumed here that the "bright" choose to be educated in order to make money and that their expectations are fulfilled. An opposite assumption would be that many "bright" individuals will choose a particular kind of education as preparation for work which they find attractive for non-monetary reasons. For such reasons, they may eschew higher education altogether. It is not reasonable to expect any substantial agreement on issues of this sort. But unless the nature and complexity of these issues is understood — and they are issues of political philosophy, not economics or sociology — then persuasive public figures in government and, alas, in universities, can arouse unwarranted expectations in the public mind. The experience of the sixties provides a prime example of the kind of trap of expectations which the universities can help to set for themselves. It was primarily academic and professional economists who "sold" the expansion of universities on the basis of public benefits to be derived. Once the general benefits were believed to be established, the debate shifted to a discussion of the division of benefits between the individual and the state. This issue still dominates almost all thinking about student aid, although the earlier fundamental assumption about the nature of economic benefits to both individuals and society as a whole are appearing to some to be more and more doubtful.

Perhaps the assumption that who benefits should pay proportionately (supposing that the division of benefits could be established and agreed upon) is less relevant to the financing of higher education than the different and simpler (at least operationally) assumption that universities should be financed for the most part as non-profit institutions required to serve the people of Canada in a variety of important ways.

In any case, it is certain that values and assumptions of the kind considered here are as important in defining the objectives of particular institutions as they are in determining the goals of the system of higher education in a province or the nation.

<sup>1</sup> Marion R. Porter, John Porter, Bernard R. Blishen: *Does Money Matter?* Institute for Behavioural Research, York University, Toronto Toronto 1973.

<sup>2</sup> Op. cit. p. 199.

The Commission on Post Secondary Education in Ontario identified a need to devise bold and discriminating accommodations between government and institutions that recognize the public interest yet avoid political meddling and bureaucratic controls . . .

and

the equally pressing need for the system in its formal institutions and in alternatives beyond existing patterns, to remain sensitive and responsive to changing social values . . .

The Commission immediately went on to say that it was not asking that . . . institutions of post-secondary education should respond faddishly to each faint whisper of change in society or in intellectual life. Nor is it to ask individual colleges or universities to become all things to all people, to assume responsibility for a spectrum of legitimate social and other tasks that would hobble them in discharging their first duties.<sup>1</sup>

This statement seems to assume, in our view correctly, that universities can and should identify "first duties". In the iterative model described earlier such identification would occur in the submission of intentions for the Stage 3 planning period of the government agency. After discussion and possible *modification*, the plan would, in effect, become an informal arrangement between the particular university and the government for the planning period or until modified during the next cycle of iteration. In this way, one university might, by agreement, serve a narrow spectrum of teaching and research needs while another, because of geography, population density, or institutional preference, might take responsibility for a much wider range of activities, for example in continuing education. The settling of role emphasis for each institution is thus intimately intertwined with the dynamics of the changing value system and is thus of major concern in the planning process.

#### 4) Manpower considerations

One of the most vexing issues to confound the role definition of universities is the matter of manpower. It is axiomatic in our society that educational systems should, among other purposes, serve manpower needs. The difficulty is that, given the ideal of free student choice and self development, the system may produce more persons with particular skills than can immediately put those skills to direct use in the labour market. Or it may produce fewer persons with certain skills than are immediately required in the labour force. There are several levels and types of training for jobs for students who have progressed beyond, say, Grade X. We are concerned here only with the pool of demand from students eligible to enrol in two year or longer programs in a post secondary institution. In talking with senior officials in government departments and agencies concerned with universities across Canada we found no enthusiasm for attempting to fine tune university or college enrolments to strict manpower needs. There appeared to be a consensus on two main points:

<sup>1</sup> *The Learning Society. Report of the Commission on Post-Secondary Education in Ontario. Toronto 1972. p. 19.*

i) new programs should be put in place in the appropriate institution to meet clearly defined needs for persons with specific kinds of training best acquired in an institutional setting;

ii) job opportunities for persons with various kinds of training should be described as carefully as possible and information provided to prospective students at the beginning of their programs and regularly as they proceed; in other words, able students should not be prevented from entering programs in which competition for jobs will be intense. They should, however, be fully counselled about the prospects.<sup>1</sup>

Yet, while government officials concerned with education seem to reject enrolment planning on the basis of manpower needs, those in other branches of government frequently take a different view.

The ideal is to have enrolments and outputs respond to foreseeable future changes in the labour market, but is far from realization.<sup>2</sup>

This assumption of the ideal is in direct conflict with the assumptions of most persons concerned with the development of colleges and universities. The fact that it is offered in passing as part of a section headed "sensitivity of post-secondary channels to the labour market" illustrates vividly the way in which "self-evident" assumptions can be left unexamined in a major analytical study.

Questions of value also permeate consideration of the place of research in the role of the university. We consider these further as we turn next to a number of specific elements in role definition as a major outcome of the long term planning process.

<sup>1</sup> The Commission on Post-Secondary Education in Ontario recommended in its report *The Learning Society* (p. 99) that a Canada Human Development Commission be established to work with the Provincial Commissions in studying and making available information about educational training, employment opportunities and manpower needs.

<sup>2</sup> *Training for Ontario's Future*. Report of the Task Force on Industrial Training. Ministry of Colleges and Universities Manpower Training Branch, Toronto, 1973, page 94. (Four of the six task force members were with the Department of Labour).

## Outcomes of Planning: Each University's Role Defined

In the third chapter, in outlining the operation of a consultative, iterative process involving individual universities, collectivities, and government agencies, we suggested that regular projections of enrolment for each institution would be one important outcome. This outcome would be important, not only because it would establish in an overall way the intended scale of the individual institution, but especially because the intentions of the institution would have been tested and approved by the government agency. They would no longer represent, as in general they do now, the unilateral ambitions of separate institutions curbed only by an uncoordinated accumulation of *ad hoc* restraints. Other dimensions of the university role would be negotiated through the same consultative, iterative process. In total, it will depend in part on the functions assigned to or assumed by other post-secondary institutions and in part on an agreed division of responsibility among the various universities within a jurisdiction.

### *Differentiating the role of the university system*

As we have seen, most provinces have assigned responsibility for overseeing development of universities and other post-secondary institutions to the same department of government. Where intermediary bodies exist they are in some cases concerned exclusively with university matters, in others with the whole range of post-secondary institutions. In either case there is an obvious need to relate the enrolment planning of universities to that of the other institutions.

The time lag in adjusting numbers of highly qualified faculty upward – or downward – is such that enrolment planning which is not consistent with university and government policies affecting student choice will inevitably result in wasted resources. The development of rational policies for effective resource use therefore requires decisions in advance about the *desirable* share of post secondary enrolments to be accommodated in the university and other sectors, given some overall estimate of total demand.

The questions to be considered at this macroplanning level are formidable and should involve the participation of each sector of post secondary education. Collective organizations of universities, or other kinds of institutions where they exist, can

act for their particular sectors with the government agency in reviewing assumptions about the way the student body will divide, given alternative choices of programs, incentives, and counselling. This is not to deny freedom of a student to enrol in any sector for which he is qualified. It is, however, to recognize that student choices are affected by student aid programs and by the recruitment policies of institutions as well as by the labelling and advertising of programs. Institutional sectors must be involved in macro enrolment planning just as individual universities must be involved in planning for the university sector because, apart from their first-hand experience with students, their subsequent actions can support or subvert the plan.

For example, in the Ontario university system there is at the moment considerable excess capacity in arts and science. Recently there has been a marked student preference for university programs with fairly specific vocational goals. The Colleges of Applied Arts and Technology have emphasized less academically oriented vocational training, but have also developed a wide range of general education programs. Would it make sense for colleges to develop in ways which would encourage greater enrolments of students who are qualified for general university programs when there is unused capacity in universities which cannot easily be adjusted downward? Diversity of opportunity is an excellent goal. What priority does it have, when to realise it means leaving existing resources partly idle?

Let us look briefly at a few of the questions involved in dividing overall enrolments among the various sectors of post-secondary education and the processes involved in dealing with them.

#### *Estimating potential demand*

Planning in a province or a region occurs within a national context and depends first on estimates of population and population movement. Statistics Canada has recently published a set of official population projections to the year 2001<sup>1</sup> and will revise and update them periodically. Such projections are based on current assumptions about economic development, immigration and other factors as well as birth-rates. Although such projections may change for the more distant time periods, they are likely to provide a reliable base for five year projections of post-secondary enrolments. Statistics Canada has not attempted official projections of these enrolments, although they have sponsored unofficial macroprojections which offer a useful model for future procedures.<sup>2</sup> Assumptions are clearly stated together with a variety of alternative assumptions.

It is tempting to suggest that Statistics Canada take on the job of coordinating projections of total demand on a national basis for the provinces and regions. It would be more practical, however, for each province or region to use the Statistics Canada population projections and such unofficial studies as may be produced nationally (e.g. Science Council manpower projections, Economic Council projections of educational demand) as a basis for jurisdictional projections of total demand

<sup>1</sup> *Population Projections for Canada and the Provinces 1972-2001*, Statistics Canada, Ottawa 1974, 91 514 occasional.

<sup>2</sup> M Wisenthal *Enrolment Fluctuations and Patterns for the Future*. A paper presented to the AUCC Conference, Oct. 29 - Nov. 1, 1973, Ottawa.

### *Manpower planning*

We have already noted the value questions involved in determining the weight to be given these needs in enrolment planning. Here we are concerned with methods of identifying such needs and taking them into account. At the national level, the Departments of the Ministry of State for Science and Technology, and Manpower and Immigration, convene an interdepartmental committee on highly qualified manpower. The Public Service Commission as a major employer of highly skilled manpower is heavily involved in the process of estimating the needs of government. Some provinces have also established committees or departments charged with estimating government needs. Many other federal and provincial government departments and agencies have access to estimates of need in the private sector. Professional associations also conduct surveys of demand for the services of their members. Once again it would be tempting to suggest that all this information be coordinated at the national level. We cannot, however, suggest how this would be done. While we wish to emphasize the view that manpower needs should not dominate university planning, we recognize at the same time the need to improve the quality and accessibility of information gathered and analysed at a national level. An important beginning would be made if the federal government were to coordinate estimates of its own requirements. This would perform a major service to provincial and regional authorities who must plan post secondary enrolments. Provincial or regional authorities are in the best position to assess the relevance of such manpower information in their own planning. They must decide whether new programs are required and how students are to be encouraged or discouraged in order to achieve the desired kind of balance. It will be agreed usually that one aim of enrolment planning is to meet the *minimum* needs of all labour force requirements which can be identified. The next question to settle is whether upper limits of enrolment should be imposed upon a particular category or whether all comers will be served and how. Many categories will be served by other institutions as well as by universities and possibilities of mobility within an occupational hierarchy (e.g. health sciences, engineering) will affect the degree to which student demand, rebuffed in one area by limited places is likely to be transferable to a different step in the same hierarchy or to another occupational stream altogether.

These examples illustrate the ways in which manpower considerations must be brought into planning the division of enrolments among sectors. The inputs to be considered are so many and so varied that processes within each jurisdiction should depend to a large extent on informal networks of communication, involving sources in the private sector as well as those in departments and agencies of the provincial and federal governments. It is important, however, that the centre of this network should be located within the post secondary coordinating process for each jurisdiction.

### *Purity of role versus best use of resources*

Decisions about optimum target enrolments for the various sectors of post secondary education will, and should, if effective use of resources is a primary concern, depend substantially on what already exists. The first and natural aim will be to make use of existing institutions where possible to meet new needs. Thus a demand for general university degree work in a city where there is no university but

where there is a college campus can sensibly be accommodated by the college if it has room. Just as sensibly, staff will be brought in from an existing university, and the course accredited by that university unless there is a compelling reason to establish a new institution. At the same time, universities may reasonably accommodate certain kinds of technical training formerly done under other auspices. This will usually involve an upgrading of the program concerned, but may also mean that the existing program remains at the same level but can be enriched by drawing on the resources of the university. The movement of Colleges of Optometry onto university campuses offers such an example.

The housing of the School of Laboratory Technicians of the Saint John Institute of Technology by the Saint John campus of the University of New Brunswick is another. It is natural that both universities and community colleges should be jealous of what they see to be their special roles and not wish to have these polluted by activities more typical of other kinds of institutions. Nevertheless, in some of the less densely populated parts of the country, governments interested in economies may ask universities to take on some of the functions that are normally appropriate to community colleges while in other cases community colleges may be asked to contribute to the provision of university courses. Such "flexibility" becomes particularly relevant as demand expands for more widely dispersed and more varied opportunities for part-time education of all kinds.

In planning division of enrolment among sectors of post-secondary education it is obviously important to decide the extent to which part-time and full-time students will be permitted or encouraged to transfer from one sector to the other with credit and therefore without loss of time in gaining a particular credential.

The question of transferability with credit from other institutions has been a vexing issue everywhere except Quebec, where every student must go through a CEGEP *en route* to university, and in British Columbia, where upwards of 20 per cent of students entering university each year do so with credits from the college sector. The problem of transferability of credits is compounded for the students who cross provincial boundaries.

In view of this partial list of questions to be considered, the task of dividing enrolments and settling in broad terms the roles of the various sectors would be impossible if it were necessary to begin from scratch. The fact is that we begin in each jurisdiction with a set of existing institutions, an existing pattern of student choice. The job is one of adjusting respective institutional roles for the future. This requires in part responses to new program needs and in part steering student demand to ensure that resources in place are utilized as effectively as possible. This is as important and as legitimate as adjusting future institutional roles and future student demand by granting or withholding capital grants essential to particular kinds of expansion. The point that the processes for making present and future "adjustments" involve each of the educational sectors as well as responsible government departments or agencies hardly needs spelling out again.

#### *Diversity of role within the university system*

As we saw in the first chapter, the most specific exercise in role differentiation that undertaken in Canada has been carried through in the province of Quebec under



the auspices of the Council of Universities. The *grandes orientations* project was iterative in nature, and there is every sign that the long-range plans developed through it will be reviewed regularly on the same basis. The initiative taken by the Council has, in general, been received by the universities as a welcome opportunity to raise the consciousness of university staffs about their individual responsibilities for institutional planning. Because the exercise has behind it the authority of the Council, administrators are able, if they wish, to insist that their internal studies directed to answering the Council's questions be taken seriously at all levels within their universities.

As noted earlier, the *grandes orientations* exercise has resulted only in a set of plans accompanied by advice from the Council, and it remains to be seen how closely the Quebec universities will follow the directions indicated. It is the intention of the Council to monitor university performance through the "interim progress reports" mentioned in Chapter II. If, however, the planning process of the kind outlined in Chapter II is to be fully effective, plans should receive some kind of formal validation, with review and revalidation at agreed intervals.

Governments cannot legally commit their successors to detailed expenditures years ahead. They can, however, say without difficulty that "subject to annual votes of the legislature the government *intends* to make it possible for university X to proceed with its plans on the basis outlined and recommended to it by (the agency or department concerned)." Governments may prefer to be less specific, although it is hard to see any real danger in such specificity if a continuous iterative process is in place by which the specifics can be readily altered.

The role of an individual university can be defined broadly in terms of the scale of its enrolment, the mix of its academic programs, the extent and nature of its research activities, and its involvement, as an institution, in "community service" which encompasses everything but teaching and research.

#### *Scale of enrolment*

The enrolment plans of a single university will be bounded on the one hand by its own assessment of its optimum size considering its location, relationship to its surrounding community, style and traditions, and on the other by the numbers of students which it can attract from the total pool of demand for university education. Given established institutions and a zero or slow rate of total growth in undergraduate enrolments overall, it is incumbent on the planning system to arrange upper limits on enrolments at some institutions so that others will have a chance to build or maintain viable size. This requires that rules be set, by mutual agreement among universities and endorsed by government authority or by government decree, to limit the devices that may be used in recruiting students. The assumption is made here that rationalization of this kind is likely to be one goal of governments.

#### *Mix of programs*

A related and equally important facet of a university's role is the variety of programs offered. It can be assumed that most universities offer honours as well as general degree programs in arts and science. We have had no entirely independent technical universities in Canada except Nova Scotia Technical College in Halifax

which is soon to merge with Dalhousie University. Role differentiation among universities is therefore concerned mainly with the allocation of responsibility for professional work of various sorts and for graduate studies.

Manpower considerations come into play in both cases. Much concern was expressed in the 1960's about the proliferation of faculties of engineering. This led to a number of studies of engineering education which in most cases suggested that fewer and larger faculties would best serve the profession. Canada as a whole had enough capacity for training engineers. Yet the Province of Newfoundland decided on the basis of its own study to establish and support a faculty of engineering at Memorial University in St. John's. The enrolments thus diverted created an enrolment crisis for Nova Scotia Technical College. But the main reason for the Newfoundland decision was a shortage of engineering manpower in that province. Newfoundland students who graduated from Nova Scotia Technical College tended not to return to their own province. Newfoundland's need for engineers could be met only by providing training on the spot. The vast majority of the first graduating class in 1974 are now employed in Newfoundland: the calculation appears to have been correct. It reinforces the view expressed earlier in this chapter that manpower considerations have to be taken into account on a provincial basis. Other devices can be used to meet problems of manpower distribution: for example, a contract between student and government that in return for financial support he will give so many years of professional service at an assigned location in a specified location within a province or territory. In general, Canadian governments have preferred to avoid this kind of arrangement in favour of devising positive incentives.<sup>1</sup> Apparently the problem of "non-return" has not been as serious in medicine where, for decades, students from the other maritime provinces have been assured of certain places at Dalhousie where a small number of francophone students from New Brunswick are now provided places at Laval and Sherbrooke.

It is normal in every provincial jurisdiction to require government or government agency approval for "new programs". Whether these are undergraduate or graduate they are assessed largely on the basis of manpower needs and student demand. Universities are free to implement programs which have not been approved, but in those jurisdictions with formula financing they will not receive income for students enrolled.

Assessment of existing programs as well as the need for new programs for both undergraduate and graduate work (all "cycles") is being carried out in Quebec through the sectorial studies under ministry auspices. These appear to have been explicit and effective in determining the roles of the various universities and their specific responsibilities in certain areas of study. These determinations have been backed up by ministerial directive.

In Ontario, assessment procedures for existing programs are also highly developed but confined to graduate studies. The assessments are carried through by the Advisory Committee on Academic Planning of the Ontario Council of Graduate Studies. Final recommendations, as noted in the first chapter, are made in the

<sup>1</sup> "Tied loans" to correct manpower shortages are, however, recommended by the Royal Commission on Education, Public Services, and Provincial Municipal Relations in *Nova Scotia Report Vol III 64.19/20.*

name of the Council of Ontario Universities (the voluntary collectivity – not to be confused with the new Ontario Council on University Affairs (OCUA) which is a government appointed advisory body succeeding the former Committee on University Affairs). The recommendations made to the universities are not enforceable by the Council of Ontario Universities. The Committee on University Affairs had recommended to the Ministry of Colleges and Universities the lifting of embargoes on a number of disciplines (a freeze on all new programs within the discipline) as a result of recommendations received from the COU. The Minister has now made it clear that he expects the new OCUA to monitor the responses of individual universities to the COU recommendations, but whether the OCUA will recommend sanctions to enforce compliance remains to be seen. If the intermediary body were to go the further step and discuss with individual universities plans each is making in response to the recommendations together with undergraduate enrolment plans and subsequently validate these, the iterative process and outcome outlined in Chapter 2 would in effect be established.

Although the ACAP assessments in Ontario have focused on capacity for and quality of graduate work in separate disciplines, the further step of considering related disciplines on a sectorial basis is planned once enough individual assessments have been completed. This sectorial review will inevitably involve consideration of the impact of graduate studies on the undergraduate programs and enrolments of individual institutions. Thus, while the approach has been different, Ontario may well arrive at results which combine many features of the separate sectorial and *grandes orientations* studies in Quebec. The major difference has been that in Ontario the universities themselves with indirect prodding and financial help (the ACAP assessments are funded for half their cost by the Ministry of Colleges and Universities) have organized and carried out the exercise and modified it in progress to provide several cycles of iteration among the institutions and departments concerned in each discipline. This process has offset the assumptions of consultants brought in from other jurisdictions to provide expert advice – assumptions which are not always consistent with the realities of Canadian experience.

We referred in Chapter III to the importance of keeping clear the roles of university people who are called upon to participate in the planning and assessment process outside their own institutions. We had the example of the Ontario experience much in mind. The observation is worth restating here – i.e. where independent review and assessment of quality is concerned, there are advantages in having the enterprise managed through such machinery as the universities collectively establish. This is to be preferred to machinery established by a government or government agency through which the university people become the employees or consultants of government itself directly. This preference does not diminish in any way the responsibility of the government or its agency for making a final decision as to whether it will take steps to follow through on the planning implications of such reviews and assessments.

#### *The research role*

In the past the institutional role of the university in research has had little attention. Universities were assumed to be, by definition, places where learning occurs within the context of a search for new knowledge. This search was presumed

to be an integral part of the business of being a professor. It was thought of as the business of the individual. Where special facilities were needed the individual got them from the university or from an external source, in Canada primarily one of the three federal research councils. But the activity itself, whether or not it required assistance, was carried on by the individual, not the university and was not seen as having major implications for institutional finances or administration. And for the most part research activity was obscure to all within the university except the researcher's peer group.

Because the rapidly increasing cost per student combined with much larger student numbers during the 1960's to triple and quadruple public expenditures on universities, the parallel expansion of research activity came into question. Must research activity be proportionate to teaching activity? When there are so many more teaching staff, can they all be expected to do "first-rate research"? If not, shouldn't they do more teaching instead and thus lower the unit costs of universities? It is not necessary to rehearse the arguments pro and con here. But it is necessary to point out that nowhere do basic assumptions become so important in discussion of a university's role as in relation to research. And research cannot be left out of consideration when matters of scale and mix are being considered with provincial or regional authorities in defining the institutional role. The research "plan" for this purpose need not be anything like as complex as suggested in *Quest for the Optimum*<sup>1</sup> (the Bonneau/Corry Report). It should answer questions such as the following. apart from the activities of individual professors, what areas of research strength would be exploited by the university if presented with opportunities for major team projects in medical sciences, basic science, applied science or social science? To what extent does the university encourage major team research? What research centres and institutes has the university established separate from the department and faculty structure? To what extent does the university employ professionally qualified staff solely in research?

Such a set of questions would be based on the assumption that all faculty are engaged in research as a normal part of their responsibilities and that planning the research role of the institution depended solely on the extra dimensions of activity implicit in the questions. Additional questions might be asked, however, which would challenge the assumption itself. For example is it expected that every professor on permanent appointment engage in original research which promises to lead to published results? Does the university adjust teaching loads in relation to the demonstrated capacity of each professor for productive research? Such questions would indicate that the system at least contemplated the possibility of institutions in which average teaching loads remain the same throughout the system but in which teaching and research responsibilities are spread unevenly among faculty. Experience in Canada suggests that it is possible to conceive of systems in which all institutions are universities in the sense that their activities include research as well as teaching although the role of individual faculty is differentiated. In other words we are not compelled to conform to a hierarchical system in which universities are defined as places where every member of faculty is a "researcher", while other institutions

<sup>1</sup> Louis Philippe Bonneau and J. A. Corry, *Quest for the Optimum: Research Policy in The Universities of Canada, The Report of a Commission to Study the Rationalization of University Research*, Vol. 1, 1972

specialize in teaching with faculty all of whom carry much heavier average teaching loads than is customary in universities.

A discussion of role based on such questions would enable a general statement of research intentions to be included in the long-term plan for the individual university along with scale of enrolment and program mix for validation at stated intervals. During the period of the "plan", the university would presumably be free to take initiatives or respond to opportunities falling within its stated intentions. If other targets of opportunity presented themselves, it would be incumbent on the university to discuss the matter with the provincial or regional intermediary body or government departmental authority before making commitments. In this way a province can assure itself that the major roles of all institutions within its jurisdiction fit together to meet the needs of the province or the region. Except in the case of developments involving very large sums of federal money, the universities, by including research activities within the normal process of review and discussion with the intermediary body or government department, can themselves provide a bridge between the federal interest in research and the provincial interest in universities as integrated institutions.

The suggestion just made requires a revision of the more traditional university view that, so far as the external relations of the universities are concerned, research is in a water-tight compartment apart from teaching and other activities.

### *Community service*

Just as universities must face in two directions in planning research, so it is with the variety of activities which it is now customary to lump together under the heading of "community service". The "triangle" in this context is the province/university/community. Nowadays, all universities are more self-conscious about their opportunities to serve their immediate communities and thus to gain greater appreciation of their value from the public at large. At the same time, expectations in the community about what the university as a public institution can or should do for the community are not always consistent with what the university can deliver and still serve its primary teaching and research functions, its "first duties".

Continuing education, other than courses for degree credit is a major responsibility of the university but one which is shared with other post-secondary institutions in the same locality and, with the secondary school system as well. Rationalization of effort is now frequently attempted at the local level through regional councils of all institutions offering courses to the general public without admission requirements. In general, a university will wish to apply its resources to specialized courses which draw on specialized faculty for purposes of updating professional competence or meeting the special needs of organized labour or industry. The interest of the provincial agency which interacts with the university for planning purposes should be limited to a review with the university of the degree of its involvement and any special arrangements which involve the university in joint operations or ownership with hospitals or other institutions. The university should outline the role which it sees for itself as a cultural and resource centre for its community in putting forward its plans and programs on a long term basis. Some specialized activities, especially in the arts, which would not be viable if numbers of students were

the only consideration, may nevertheless represent a sound investment of public money because of their impact on an otherwise deprived city or region. Since it is now usual for provincial assistance to cultural activities to be administered through the department of government responsible for universities, the latter can be encouraged to undertake certain activities which are perhaps of greater benefit to the community than to the student body. Such possibilities should not be excluded from discussion of the role of the university.

Professional programs of continuing education will involve consultation with professional groups at a local, regional or national level. As with research and other forms of community service, the university itself can be the bridge between these interests and the provincial authority.

#### *The role of the individual university*

We have been suggesting in this chapter that the outcome of the Stage 3 planning process should amount to an informal contract for each university setting out the scale and mix of its academic programs, its major research interests, and the major thrust of its involvement with its surrounding community for a planning period five, perhaps seven years ahead. The process should also provide for regular review and reassessment of this program in the light of experience and the shifting needs and values of the society. The university should see its role as a dynamic one so should the government. At the same time, if it is to use resources wisely, it should know that its intentions are consistent with the views of governments representing the public which supports it. What we advocate is the next logical step in the development of the planning interface between universities and governments which will be adequate for current notions of accountability. In the final chapter we review planning practices and present imperatives as we proceed to a few simple conclusions.

## Consultative planning

### *The background*

Once the coming enrolment crisis was recognized by both governments and universities in the early sixties, plans were immediately made to begin a massive expansion of university places and funds were made available to cover the capital and operating expenses involved.

In a number of jurisdictions, notably Quebec and New Brunswick special commissions were appointed by governments to provide a blueprint for expansion. In Ontario, the blueprint was provided by the Research Committee of the Committee of Presidents at the request of the government. In British Columbia, the University of British Columbia took the initiative in surveying the future needs of that province for expanded post-secondary educational facilities. The goal, agreed to by all, was explicit and simple. to make enough university places to accommodate a very rapid increase in numbers of students born in the post-war baby boom and about to begin graduating from the high schools in 1963. Each of these planning bodies was able to make specific, fairly simple recommendations which were generally acceptable in what quickly became a boom psychology. What was required and what was done was crash Stage 2 operational planning to expand physical facilities and crash Stage 1 planning to cover rapidly rising operational costs — primarily faculty salaries in what rapidly became a sellers market in a generally expanding economy. There was, however, little time for Stage 3 planning of the sort we have described.

After the boom was well under way studies were initiated to calculate the gross expenditures required, assuming that it would continue into the seventies<sup>1</sup> By the middle of the decade signs of apprehension and warning that there would be limits to expansion began to appear.<sup>2</sup> It was recognized that development in high expenditure areas such as graduate work and some of the professions would have to

<sup>1</sup> *Financing Higher Education in Canada*, Report of a Commission to the AUCC, 1965. Chairman V.W. Bladen.

<sup>2</sup> *Governments and the University*. The Frank Gerstein Lectures, York University, 1966. (Includes addresses by the Hon. William G. Davis and Mgr. Alphonsus-Marie Parent.

be rationalized. Specialized *ad hoc* studies were commissioned to deal with obvious trouble spots.<sup>1</sup> By the end of the sixties a few intermediary bodies had made occasional attempts at long term planning. Some of these relating to role differentiation have been noted earlier. But generally speaking, governments and their agencies created to guide expanding university systems failed to develop a Stage 3 planning capacity capable of interacting authoritatively and systematically with university planning directed to the long run. Both governments and buffers were snowed under by the demands of short and medium range budgeting for operational and capital spending.

We are left with the question: why have systematic processes for long term planning been lacking? To find the answer we must go back to the late fifties and early sixties to the period when it came to be generally assumed that our society was witnessing "the end of ideology"<sup>2</sup> and that in future social problems would largely be "solved" by the proper application of technical method. Given the widespread consensus on values, the political process would legitimize and make effective the solutions devised by experts. The expert would be king. In this climate of belief, the master plan became for a time the chosen instrument for the development of university systems in the United States and the fashion spilled over somewhat into Canada. The master plan concept assumed that you "make" the future a number of years ahead by sticking rigidly to the master plan. The impracticability of this concept was clear from the experience of those jurisdictions where it was tried (most notably California) and it gave way to reliance on student demand — a rather special version of the classical market model. As long as student demand grew each year, all universities could and did expand to accommodate it with little system planning.

By the late sixties it was clear that the value consensus assumed at the beginning of the decade had broken down (if it ever existed) and that this breakdown, together with economic factors, was reducing student demand to a steady or even declining state. Rationalization of university development was now seen to involve not only the avoidance of undue duplication, but also a fundamental re-examination of the role of the university in society. In the absence in some provinces of adequate continuing processes through which such re-examination would be related to long-term planning, some governments sought to fill the vacuum by appointing special commissions which would re-establish consensus and consult experts to provide solutions. The nature of the job they were asked to do was inherently a reforming one rather than the initiating one of the commissions appointed at the beginning of the boom. The reports of these recent major commissions (in Ontario, Manitoba, and Alberta) have conveyed without question the sense of a society with expanding and changing educational needs. But except in the Alberta Report, the implications of these perceived changes for individual institutions is not touched. And, indeed, the ways in which responsibilities are to be shared between the university system and other post secondary institutions is given little attention. These

<sup>1</sup> *Report of the Commission to Study the Development of Graduate Programmes in Ontario Universities*. Chairman J.W.T. Spinks, 1966

<sup>2</sup> The phrase gained popular currency with the publication of Daniel Bell's collection of essays, *The end of ideology*, in 1960.



commissions have, for the most part, avoided the practical issues of priorities facing both institutions and governments in meeting the many various demands which the commissions claim to have identified. Whether the populist rhetoric of these reports does in fact represent a new consensus of values in the Canadian society is not yet clear. It is evident, however, that for purposes of planning the dialogue about fundamental values should be built into a *continuing* systematic planning process. The major one-shot commission is obsolete as a planning tool.

### *Planning as a participatory process*

What we have been developing in this study and what we advocate is an on-going system of consultative planning. There is no doubt that in most jurisdictions in Canada, perhaps in all, there is a willingness to consult on the part of governments and government agencies which is not universally reciprocated in the universities. At the very least there are differences of opinion about the matters on which consultation should take place. And confusion persists about those areas within which the responsibility for decision rests with the government after consultation. There is some disposition to equate consultation with yielding the power to decide. Nevertheless, on the whole, a consultative new spirit seems to exist on both sides. But systematic consultation requires more than goodwill. It requires the unequivocal recognition by all parties that none can plan soundly alone. It also requires recognition that *ad hocery* far from solving problems creates uncertainties about process which in turn breeds distrust, suspicion of motives, and makes planning a closed rather than an open process. *Ad hocery* which is by definition the kind of planning which goes on when there are not systematic and agreed procedures, normally concerns itself with problems which have already appeared and presented themselves as urgent matters. *Ad hoc* solutions to this kind of problem usually lack follow through. Agreed ways of proceeding prevent the bitterness which results from arbitrary action based on *ad hoc* changes in rules. Agreed processes for consultative planning are prerequisite to planning outcomes which will be satisfactory because they will be acknowledged as legitimate and not arbitrary.

The same goal of legitimacy lay behind the reform of internal university structures following the Report of the Commission on University Government.<sup>1</sup> All these reforms have had in view the establishment of agreed processes for the management of internal affairs. We have for the most part, except briefly in Chapter II, avoided discussion of the internal planning process of either governments or universities. These we have treated as "black boxes". To open them would involve a detailed study of the internal governance of universities and internal workings of government bureaucracies which is beyond the scope and resources of this study. At the same time we acknowledge the need for universities and governments to take into account the needs of the planning interface in reviewing their internal processes and adjusting these to new conditions as they arise (e.g. collective bargaining for faculty).

<sup>1</sup> Sir James Duff and Robert O. Berdahl, *University Government in Canada*, Report of a Commission sponsored by the Canadian Association of University Teachers and the Association of Universities and Colleges of Canada, 1968.

As external factors impinge more and more directly on universities, it is time to establish well understood, agreed and stable processes in the inevitable relationships between universities and governments. These relationships can be more constructive and effective if tensions about the planning processes themselves are resolved, thus clearing away the kind of procedural debris which frequently obstructs or delays useful and substantive action. Our concern does not arise from any sort of technocratic impatience with the failure of the real world to conform to the theoretical models. We have recognized that long term planning is a technical matter only insofar as it involves systematic processes which do not permit important factors to be overlooked by accident.

We have stressed that looking critically at fundamental assumptions is not outside the planning process, but is a part of it, and that effective processes must include continuous reassessment of these assumptions about the goals of society. These will be articulated broadly in the political arena, but they need to be interpreted and given day to day meaning in the planning cycle involving universities singly, and together, and with the government agency charged with overseeing university affairs.

#### *Autonomy and accountability*

University autonomy and public accountability are broad concepts which can be defined satisfactorily only in terms of practice and custom. Both require careful analysis and discussion as the kinds of continuous systematic processes for consultative planning that we advocate are put in place in each jurisdiction. We do not suggest that there is one definition of university autonomy which is satisfactory for all cases and conditions of universities. Neither do we suggest that a single definition of public accountability can adequately cover all circumstances. Nevertheless, we think it important here to state certain general propositions which we hope would get explicit discussion and which would command a large degree of agreement.

The first proposition is that university autonomy should be sustained to the extent that it makes the university a more effective institution in carrying out the functions appropriate to universities. University autonomy can be defended on broader philosophical grounds linked to academic freedom. Whatever its merits, we do not argue that case here except to note that academic freedom is a concept held to be valid and important in systems of universities where institutional autonomy is much more circumscribed than is usual in Canada. We restrict ourselves here to the proposition that a university which is largely self directing in decisions about *how* to carry out its mission will make better use of resources than an institution which is directed in detail from a distance. In addition to these practical reasons for it, autonomy is consistent with the observable Canadian preference for decentralization.

The second proposition is that accountability depends upon delegation. Where there has not been delegation of authority and responsibility there is no place for accountability. The university has, in our view, been delegated certain responsibilities and asked to perform certain functions by society. Unless it is free to a considerable degree to choose the way in which it performs these functions it cannot be held accountable for its performance. Thus the possibility of accountability depends directly upon the degree of autonomy. Each university has a board of gover-

nors or trustees which is representative of the community at large and includes members appointed by provincial governments. Such bodies provide further assurance that the university is capable of accepting a high degree of responsibility for its own affairs.

The third proposition is that accountability is served by providing appropriate evidence—that assigned and agreed functions are being performed and that, broadly speaking, monies provided by the public treasury are being spent in the ways intended. Such accountability does not require the university to prove that the particular method which it uses in fulfilling a particular function is necessarily the "best" method. The popular notion that accountability involves measuring outcomes against resources applied in some sort of pre-determined ratio is totally inappropriate to the university and its functions. It is crucial, therefore, that the kinds of information provided in the accounting process be carefully considered. Apart from degrees granted or numbers of full-time equivalent students served, university outcomes so far as they can be specified at all can be observed (but in most cases not measured) only over a long period of time — far too long to allow any meaningful feedback into the planning process. At the same time, the accountability of universities involves a great deal of judgment based on accurate, close and informed observation of performance. The processes through which such judgments are made and the kinds of information needed to assist judgment at the various levels of accountability are matters for consideration in the long term planning process. This process should proceed on a basis of mutual trust and confidence and cannot do so unless public authorities are satisfied with methods of accounting for current performance.

The fourth proposition which flows from the others is that the types of information collected by government and the methods of collection should be decided through the consultative planning process. A succession of unilaterally imposed demands for information can quickly vitiate apparent working understanding about autonomy, accountability and the nature of the planning process itself.

The fifth and most important proposition is that if universities are properly accountable to the public they will demonstrate a long term planning capacity for interacting with governments and their agencies, and governments, if they are properly accountable for effective management of public resources, will put in place the structures, procedures and personnel essential to a workable consultative planning process.

If these propositions are to be effectively supported, universities should be able to interact continually with some body which speaks for the public interest. This may be an intermediary body appointed by government or a government department. The essential condition for the system of continuous, consultative planning we advocate is that universities and their collectivities be able to confer on a day to day basis with those who have a responsibility for looking at the university system as a whole in terms of the public interest, but with the assurance that this day to day consultation does not involve the political level.

The political level is where the primary allocative decisions must be made. The intermediary body (where there is one) must deal with the political level on a day to day basis just as it deals with universities. It will usually initiate consultation on those matters which require political judgment. It will not consult the political level

about matters which universities should decide themselves after consultation with the buffer. If a government department can meet these criteria of performance then, from the point of view of planning at least, the intermediary advisory body is not crucial. The evidence is, however, that government departments are more closely and directly responsible to Ministers, and they are therefore unlikely to be able to insulate sufficiently from the political level the ongoing discussion with universities so crucial to long term planning.

#### *Structure and process*

If an intermediary body is to be capable of performing the role of bringing the public interest to bear on university affairs while insulating the universities from direct political control, the membership of the intermediary body itself is crucial.

Its members must be competent as well as broadly representative of major interest groups. Such a body should not be so large as to be unwieldy. Terms should be fixed to ensure regular turnover of membership, but individual terms should be sufficiently long to ensure that solid experience is strongly represented at all times. The intermediary body should be above partisan political suspicion if it is to perform satisfactorily under successive provincial and federal governments and provide the continuity of process which is basic to the healthy independence of universities.

While we are inclined to think that a properly constituted intermediary body is more likely to ensure effective planning relationships with universities, we reiterate the conviction that consultative planning can proceed within any structure if all of the parties concerned think it important enough to make it work. It is not a process to be valued for itself. Its value lies in a more stable and less wasteful development of universities.

## Guidelines and conclusions

*Stop, go = waste of scarce resources*

The purpose of planning is to avoid waste – waste of money, waste of time, waste of human resources. Universities are held accountable by governments and the public for avoiding waste as they carry out complex and inter related activities which contribute to the advanced education and professional training of men and women, to the creation and preservation of knowledge, and to service of other kinds to the community. Accountability depends on governments and universities agreeing about what universities should do. Such agreement can be reached only by the evolution of a new style of continuous, consultative planning. We say evolution, because much can be accomplished within existing arrangements if the agenda is broadened to include specific definitions of general goals on a fully consultative basis. Through such a process the development of universities can be brought into harmony with changing public needs as they are perceived through the political process, and when changes become necessary they can be signposted early enough to avoid sudden shifts in expectations and support. There is no doubt that the sudden policy gyrations of recent years resulted from the lack of the kind of process described and advocated here. The costs of these sudden changes in human terms can not be counted. We have another chance now to plan necessary change in a more orderly and less wasteful fashion. Much will depend on whether universities can muster the institutional vitality to initiate and sustain their side of the consultative process. If they do, governments will, we are sure, do their best to respond. The essentials of the process are outlined in the three parts of Guideline I as follows:

- 1.1 *There should be within each provincial (or regional) jurisdiction an adequate long term planning process for the development of individual universities and the university system to ensure*
  - a) *definition of role for the university system and for individual universities within the system on the basis of clearly stated goals and assumptions (including what is meant by autonomy and accountability)*
  - b) *monitoring of the planning process itself including the interface with government at operational levels. Methods of continuous, systematic and close consultation among all parties involved, upon which the process*

*depends, should themselves command continuing attention.*

*1.2 The parties should be responsible for contributing to the process as follows*

*a) the university responsibility*

- i) each university should develop an internal capacity for long term planning in order to play an effective part at the interface with governments by itself and in partnership with other universities through the collectivities to which it belongs;*
- ii) each university should prepare and publish annually a working paper which, in its substantive parts (e.g. enrolment projections by program) requires approval by the senior academic governing body of the university and which also serves to alert the university community to external factors and areas of uncertainty which bear on the chosen role and goals of the university.*

*b) the university collectivity's responsibility*

- i) the collectivity should play a strictly advisory role in the long term planning process so far as the plans of its individual members are concerned;*
- ii) the collectivity should prepare its own annual planning document which should include a summary and analysis of university enrolment projections and a synopsis of planning issues as they are perceived in the individual institutions with additional comment from a system-wide perspective, the document should report on such related long term planning activities as the collectivity has undertaken by agreement of its members and the intermediary body or the government department.*

*c) the intermediary body or government department's responsibility*

*Following formal and informal consultation with individual universities and their collectivity the intermediary body (or government department where there is no intermediary body) should publish an annual planning document to be circulated to all faculty, members of boards of governors, legislators and the general public on request. This document should*

- i) set out the functions of the university system in the province or region in relation to other educational institutions,*
- ii) indicate, giving assumptions and reasons, the planned scale of enrolments settled for the university system in the long term planning period ahead (five to seven years) together with projected enrolments in other post-secondary institutions.*
- iii) describe plans for future program developments, the reasons for these and the opportunities which they will create for students.*
- iv) summarize briefly the role planned by each institution and the extent to which this role is consistent with the needs of the province or region as a whole*

- v) report decisions taken by governments and universities which relate to issues reviewed in earlier planning documents.
- vi) draw attention to areas about which there is major uncertainty and need for further study before the basis for long term planning in relation to them can be established.

The text of the planning document should stress that it is one of a series of working papers intended to contribute to an ongoing process.

- 1.3 The parties named in a), b), and c) that is the individual university, the university collectivity and the intermediary body or government department should be jointly responsible for establishing a regular cycle of planning activity in harmony with their respective operational requirements.  
(Illustrative cycle described in text pp. 13-14).

### Accountability

Taken as a whole, Guideline I is concerned with developing criteria for accountability goals against which performance can be evaluated – for the university system as a whole and for individual universities as we stressed in Chapter V. The system relies for its strength on its individual parts. If the parts are to be strong, each must be confident that its particular goals have the support of the government and public. Accountability can then be a constructive and orderly process through which goals and roles can be modified if necessary, rather than a matter of *ad hoc* accusation and defence. By the same token, the university system can be defined as a coherent whole and held constructively accountable only if its purposes are clearly defined in relation to other public institutions whose responsibilities for teaching and research overlap it.

The Nova Scotia Royal Commission postulates that universities are different from other institutions of post-secondary education

"because they are as concerned with advancing and preserving knowledge as they are with teaching . . . The function of the universities is, or should be, primarily to provide an opportunity for high intellectual study to those both able to pursue and interested in pursuing it, and, in some instances to prepare people for the intellectually demanding professions . . . They should not have to depend on attracting large numbers of students without having regard to whether these students are capable of or interested in higher intellectual study. If the senior (secondary) schools do an effective job with general education and if programs of continuing education at other than university levels are readily available outside of the universities, there will be no need for the universities to provide programmes that are not of university level. The universities have an important function in continuing education, but only at levels appropriate to a university".\*

This statement illustrates well the kind of issues to be decided at the system level before individual universities can be expected to plan in a settled way for their own

\* Report Vol. I Summary of Chapters 61-65. pp. 4-6.

particular roles in the system. The functions of universities may well be defined more broadly in other parts of Canada. At the very least there will be different interpretations of "levels appropriate to the university." A real difficulty in definitions of role which would limit the outreach of the university is that the university would be deprived of the public relations benefits accruing from highly visible activities in popular demand. It is vital, therefore, that decisions to provide such popular services by other means are seen to be matters of public policy and not because the university "doesn't care about the needs of the people". There is, however, the converse case alluded to in Chapter V where a responsibility normally belonging to another kind of institution can best be provided in certain circumstances by a university. In such cases purity of role should not necessarily be decisive. In whatever ways such factors are taken into account, the result must be a clear definition of role for the institution, for which it can then be held accountable.

As well as role definition and differentiation for the university system and for universities individually, long term planning should provide for continuous review of the operational planning processes described in Chapter III. Such review is required because it is at operational levels that tension between university autonomy and government control is most manifest. The nature and tone of the total relationship between universities and governments is most clearly reflected in the day to day interaction of the two bureaucracies. These relationships need to be carefully monitored. Unless they are consistent with agreed principles of autonomy and accountability outlined in Chapter VI and with the consultative spirit which we advocate, they can quickly undermine the atmosphere of trust essential to long term planning.

### *The planning cycle*

Guideline 1.3 is intended to emphasize the importance of a regular cycle of activities which formalizes the respective responsibilities of each participant in the process which is both continuous and iterative. The formal process will depend on much informal consultation and iteration. An illustrative timetable for a cycle of activity has been given in the summary of guidelines in Chapter I pp. 13-14.

### *Planning at the national level*

In Chapter I we noted the co-existence of provincial, regional and national systems of universities in Canada. The interest of the federal government in these systems has been, in recent years, a matter of great delicacy. The resulting ambiguity about the federal interest, has been, however, and remains, an obstacle to the development of fully effective planning processes in the provinces and regions. We have indicated that the principles of consultative planning should apply within the provincial/federal/university triangle. These can develop, however, only after certain preliminary steps have been taken. It is to this end that we have suggested Guidelines II and III.

*II.1 To assist an adequate long term planning process within provincial (or regional) jurisdictions, the federal government should state clearly in a comprehensive working document*

- a) *its interest in the relationship of university activities to federal policies in many fields (e.g. student aid/welfare, cultural resources, libraries and the*



arts, economic growth, manpower planning, etc.).

- b) *the methods by which it intends to coordinate its own several departmental and other specialized interests for purposes of planning in consultation with the provinces and the universities.*

*11.2 The National Research Council, Medical Research Council and the Canada Council should institute long term planning processes which involve consultation on a continuing basis with universities as institutions. Planning documents should be published periodically in which priorities which it is within the competence of the separate councils to establish independently are stated for a five to seven year period ahead and reviewed at regular intervals.*

At the provincial level, machinery for consultative long term planning is already fully in place except for the lack of well-established university collectivities in the western provinces. Because of the small number of universities in each province consultative planning would not be dependent on the participation of a collective organization. Nevertheless, formally constituted voluntary collectivities capable of assisting the planning process in ways suggested in guideline 1.2.b. symbolize the intention of the members to cooperate with each other in planning and in joint services in the interest of using public funds effectively and efficiently. Furthermore, a single collectivity of western universities, or separate collectivity for each province will be needed if a consultative planning process is to be established at the national level

At the national level, it will be necessary to create adequate machinery *de novo*. The AUCC has in the past submitted briefs to the Federal Government on matters of importance to its members. Occasional meetings between the executive of AUCC and government representatives have taken place. There has been, however, no consistent and agreed upon process of consultation between the AUCC as the national collectivity of universities and departments of the federal government except where there is an ongoing administrative involvement, as with the Canadian International Development Agency (CIDA). We pointed out in Chapter I that the AUCC was not by itself an adequate "university voice" when federal policies affecting universities also affected the interests of provinces and regions in university affairs. Since most universities derive their legal being from provincial legislation and all are subject to provincial supervision, there are very few aspects of university affairs which do not fall in this category. We argued therefore in Chapters I and II that regional and/or provincial collectivities of universities should be part of the university voice when the federal government is consulting the provinces on federal policies affecting universities.

We cannot overemphasize the principle that fiscal and other arrangements between the federal and provincial governments should take into account long term considerations about what universities are for. These arrangements ought not be made simply as a matter of administrative convenience for the two levels of government. If this is to be avoided, the university voice must be heard. Guideline III is intended to suggest a way of creating a more adequate voice for this purpose than has existed in the past.

- III The AUCC through its Board of Directors or its Committee of Executive Heads should convene a meeting with the provincial and regional university collectivities to formulate a proposal for a national university "voice" to make*

*representations and to be consulted continuously and systematically on all policy issues of federal-provincial or interprovincial nature affecting universities*

We suggest a direct university voice only when major policy formation is involved. We do not believe that universities should be directly represented on an institutional basis on the research councils or on an intercouncil coordinating committee of the kind proposed in the speech from the throne in February 1974. Universities are not represented as such on most provincial intermediary bodies, nor should they seek such representation on parallel federal bodies. At the same time, buffer bodies of this kind may wish from time to time to consult with university collectivities and will we hope do so. If a formal or *de facto* association of university collectivities existed, such consultation at the federal level would be facilitated. The university "voice" might speak in such circumstances with more than one tongue — but it is important for federal agencies to hear the institutional voice or voices as well as the disciplinary voices which dominate their activities.

We also suggested in Chapter II that a university voice be made available to Statistics Canada and that the need to explore the policy implications of data collection be kept at the forefront of long-range planning processes.

#### Postscript

In discussing the research role towards the end of Chapter IV, we alluded to the non-hierarchical structure of university systems in Canada and the possibility that we might continue to maintain this principle while at the same time differentiating the roles of various institutions all of which are technically and legally universities and all of which are *de facto* public institutions. This is not the place to begin to develop the Canadian idea of the university. But we hope that before long a group of Canadian scholars from several disciplines will attempt for Canada what Trow and Halsey have done so successfully for Britain in their book *The British Academics*<sup>1</sup> In a more personal way, Jacques Barzun has written *The American University*. Interestingly enough he begins his introductory chapter with the sentence "The North American university is unlike any other".<sup>2</sup> He does not, however, include Canadian universities in his discussion. We have no quarrel with Professor Barzun's parochialism. We simply ask that Canadians recognize the importance of asserting their own.

In many important ways universities are, of course, international institutions. But they are also national institutions, as examination of systems in other countries makes apparent. And it is quite remarkable that although our universities have developed in Canada for the most part under separate provincial auspices, they have important characteristics in common with each other which are not shared with other national jurisdictions. It seems to us to be extremely important that our long term planning for Canadian universities should build on our own experience and deal with our own realities. We should feel no compulsion to conform to ideals developed to meet other circumstances in the United States and elsewhere.

<sup>1</sup> A. H. Halsey and M. A. Trow, *The British Academics*, London, 1971.

<sup>2</sup> Jacques Barzun, *The American University*, New York, 1968

We hope the challenge of testing the hypothesis that there is a distinct Canadian idea of the university will be taken up. Because it would put the purposes of universities in a Canadian framework of values, such a work would provide a badly needed foundation for future planning and development.