DOCUMENT RESUME

ABSTRACT
              Higher education topics that pertain to the
individual institution are addressed in this annotated bibliography,
which primarily covers publications issued during 1968-1980. In
addition, introductory descriptions of each topic and outlines of
subtopics are provided. The 20 major topics and the compilers for
each topic are as follows: admission/articulation/retention (Robert
G. Cope), business administration (D. Francis Finn), campus and
building planning (Alan C. Green), community colleges (Arthur M.
Cohen), computing services (Charles Mosmann), curriculum (Arthur W.
Chickering), educational communication and technology (James W.
Brown), faculty (Kenneth P. Mortimer and Everett C. Ladd), health
science education (Stanley W. Olson), institutional
advancement--public affairs (James L. Fisher), institutional
financing and budgeting (Eric V. Ottervik), institutional management
(Barbara S. Uehling), institutional planning and studies (Bernard S.
Sheehan), leadership and the presidency (David D. Henry), libraries
(Duane E. Webster), lifelong learning (Richard E. Peterson), private
career schools--proprietary education (Jack F. Tolbert), space
management and projection (Harlan D. Bareither), student affairs
(Arthur Sandeen), and teaching and learning (Wilbert J. McKeachie and
Stanford C. Ericksen). Author and title indexes and a list of
publishers are included. (SW)

Higher
Education

HIGHER EDUCATION: A BIBLIOGRAPHIC HANDBOOK

Volume II

D. Kent Halstead, Editor

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U.S. GOVERNMENT PRINTING OFFICE
WASHINGTON: 1981

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Volume II

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Introduction

Why not spend some time in determining what is
worthwhile for us, and then go after that?
—William Ross

The art of reading is to skip judiciously.
—P.J. Hamerton, *The Intellectual Life*

But even wholesale skipping is likely to be ineffective in dealing with today's flood of new publications. Scholars cannot keep track of, much less read, the volume produced. Libraries are unable to buy everything, and even if they could, they would be unable to store it. More than 200 years ago, Voltaire observed that "The multitude of books is making us ignorant." Then his observation may have been an exaggeration; now it is seen as a portent of things to come.

The Library of Congress currently adds between 300,000 and 400,000 volumes and pamphlets to its collection each year. In the field of higher education, the Educational Resources Information Center (ERIC) estimates that over 4,000 books, journal articles, reports, speeches, and other fugitive documents are published each year.

The increasing number of scholars results in more and more publications. There is no practical way to stem such expansion, nor should research at any level be discouraged. The way to handle the volume of literature lies not in curtailment,

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but in distinguishing what is excellent from what is merely competent, and then making the selected volumes more accessible.

This type of approach was initially advanced by August Fruge (former director of the University of California Press), who developed the distinction between "publishing" and "recording." What is needed, in his view, is a two-track system. One track is for traditional publishing of rigorously selected volumes; the other track is for recording and making available through a centralized bibliographic service lesser works that may be useful sometimes but that do not merit publication. Overall implementation would, of course, be difficult. A major concern is the means by which publications of "high quality" can and should be identified.[1]

The purpose of this bibliography and future editions is to identify and publicize on a continuing basis high-quality references in higher education. In preparing this volume, the tack taken to determine recommended reading has been to rely primarily on the opinions of experts. Through professional experience and informed judgment, 40 noted experts have attempted to select only substantial and distinctive works, with emphasis on practical value. These individuals, chosen to serve as independent associate editors in their fields of specialization, have ultimate responsibility for their selections, but they have consulted freely with their associates and colleagues in making these selections.

The comprehensive view of higher education assumed for this bibliography encompasses all major *activities* of colleges and universities (e.g., financing, teaching, planning, governance, research); *programs and organization* (e.g., admission, educational opportunity, community colleges); *resources employed* (e.g., faculty, students, facilities, computing services); and approaches used to *study* the field (e.g., economics, demography, management, history). The object has been to design a basic higher education library of value to virtually all

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[1] The two-track approach was studied by the National Enquiry into Scholarly Communication, which found considerable merit in the proposal yet questioned certain aspects of its workability, including whether adequate safeguards could be established to preserve standards in the selection process. (See *Scholarly Communication, The Report of the National Enquiry*, The Johns Hopkins University Press, Baltimore, MD, pp. 103-105.) The work of the National Enquiry is being continued by the Committee on Scholarly Communication of the American Council of Learned Societies (ACLS).

individuals and organizations that seek to have essential reference works identified or at hand. Dr. Charles W. Eliot has termed such a collection a "five-foot shelf." This expresses the concept accurately, even if it fails to reflect present-day dimensions.[2] The value of this kind of bibliography may have been what Samuel Johnson had in mind when he said, "The next best thing to knowing something is knowing where to find it."

The intended audience for this bibliography are those who study higher education and attempt to apply recent findings and advance the field—planners, administrators at all levels, and faculty and researchers in higher education. Planners, in particular, should find the breadth of this bibliography matching their own broad mission. The content, in emphasizing current theory and practice, is most suited for planning, of lesser value for research. Researchers and scholars, however, should find many useful entries in their disciplines, although highly specialized theoretical works may be excluded. Administrators can employ the bibliography more for occasional reference than detailed study. Again, the attention given to practice and technology should prove helpful. Those most affected by educational policies, notably students and faculty, as well as the regents and citizens who enact and finance policy, can use this bibliography to inquire further into today's issues.

The bibliography is being issued in two volumes.[3] The first deals with subjects generally approached from an aggregate state or national perspective; the second embraces topics usually studied at the individual institutional level. Neither volume is exclusive in these aims. The time period covered extends from publications issued in 1968 through 1980 and soon-to-be-published works of anticipated value. Periodic supplements will keep the bibliography up-to-date. Author and title indexes are provided.

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[2]The nearly 1,200 entries in this two-volume bibliography would occupy about 75 linear feet of shelf space, or, more in line with Dr. Eliot's vision, a box of microfiche 4 × 6 × 6 inches.

[3]A prototype of the first volume, titled *Higher Education Planning: A Bibliographic Handbook,* was published by NIE in June 1979. This work will be revised and updated to constitute Volume 1 of this bibliography series, and it is scheduled for publication in fall 1981.

Bibliographic Design

Bibliographies come in assorted shapes and sizes, their composition established by five basic elements: (1) subject universe, (2) organization, (3) selection criteria, (4) annotation, and (5) plan for updating. To ensure proper usage of this volume, its design is set down in some detail.

Subject Universe. The subject of this bibliography—higher education—can be described as a community and its industry. The *community* of higher education in the United States is, first, the 3,152 colleges and universities providing degree-credit study and the associated state and national organizations and Federal agencies serving these institutions. In addition to this basic "collegiate" group, there are a near-equal number of private career (proprietary) schools within the broader "post-secondary" concept that are treated in a separate chapter. Excluded are military training and the vast complex of intramural education programs conducted by industry.

The *industry* or business of this community encompasses instruction, public service, and research. These missions are accomplished through elements that constitute the substance of this bibliography—the *activities* of colleges and universities; the *organization and programs* of institutions, together with the public and government roles; the *resources* employed; and the *corporate knowledge* developed through experience and study of education by the different disciplines.

This community and its industry are the subject of this bibliography. The literature for higher education, as defined, is further narrowed in two ways: (1) the focus is tightened slightly by greater attention to current practice and technology than to theoretical research; and (2) greater attention is given to scholarly works based on systematic observation, study, or experimentation than to editorial or essay-type commentary. Yet these are less restrictions, more guidelines. Theoretical works are included where necessary to complete and establish the research or "cutting edge" of a topic. Also, many works of great value to administrators deal subjectively with controversial topics. These studies, some of which are included in "policy" sections, enliven the field by stimulating healthy debate and developing proper perspective.

Organization. For this bibliography, the field of higher education is organized in two volumes and 38 topic areas with

various subdivisions. The first volume contains topics generally studied in an aggregate universe or collective whole at the state or national level—a macro approach. The second volume includes topics typically studied in the context and from the perspective of the individual institution or campus—a micro approach. A few topics such as finance and budgeting, planning, and management are addressed in both volumes from different perspectives. Most topics are treated once, located in the volume of dominant approach but providing both macro and micro coverage. Thus, while each volume has a special focus, it is not restrictive in the sense that continuity and completeness of subject matter are overruling.

The 38 topic areas are listed below. Each topic constitutes a relatively distinct component of higher education. Many, in fact, are academic and/or occupational fields subject to concentrated study and mastery by a specialized group of practitioners, scholars, and researchers. The associate editors provide an introductory description of their topics and an outline of subtopics. For both volumes, the number of subtopics totals 243, providing a surprisingly high degree of classification detail. These subdivisions are listed in the Contents, as well as in a special classification summary beginning on page xxix.

Volume I
1. Comparative National Systems
2. Demography
3. Economics
4. Educational Opportunity
5. Finance
6. Governance and Coordination
7. History
8. Independent (Private) Higher Education
9. Institutional Role and Mission
10. Management—Quantitative Approaches
11. Philosophy
12. Policy and General Reference
13. Productivity and Cost-Benefit Analysis
14. Research and Research Administration
15. Resource Allocation and Budgeting
16. Student Characteristics and Development

Using topic areas as currently practiced and studied encourages the inclusion of supporting and reference material to complete each field. This strength is also a weakness, for the interface between related topics is often blurred and overlapping, more so than if a theoretically derived classification system had been used. Although divisions have been made with as much logical association as possible, many entries might have been classified equally well under two or three different headings. The literature in higher education is not compartmentalized as neatly as the classification plan would suggest. Large volumes, in particular, may deal with a number of related but distinctive topics. For location, the rule employed has been to place material based on the dominant subject matter or perspective taken. In every instance, material is assigned only one identification number under the dominant topic involved, although works may be annotated in more than one location. Cross-

references have been made only if a chapter or section in a work deals substantially with another topic to a degree that it could have been listed within that topic independently.

To provide an abbreviated identification for cross-referencing and author indexing, each entry is assigned a single number corresponding to its location within the taxonomy system and year of publication. The number order can best be described by this example:

Topic   Year of publication or A = annual
                               S = serial

15:1.3/77-2 ◄——— Order
                        within year

Subtopic   Second
                   subtopic
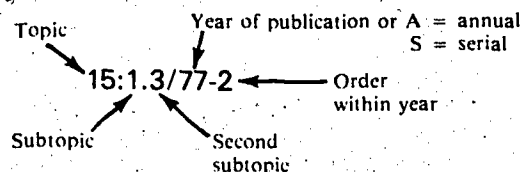
Selection. Bibliographers seldom label their work as comprehensive, as the chances of inadvertent exclusions are too high. At the same time, truly "selective" compilations are also rare, since the justification of one's choices is an altogether awkward task. [One early bibliography claimed to be "*highly selective*" (emphasis added) while reporting nearly 3,000 entries in college and university administration for a 10-year period.] Most bibliographers are content to find as many entries as possible in the time allotted, the selection being controlled as much by available resources as considerations of quality.

This bibliography, however, attempts to be both comprehensive and selective.

Critical selection is at once the most important, difficult, and rare ingredient of bibliographic endeavors. The theory behind selection is obviously to separate from many works those most valuable, so that countless other readers might save time and energy. (The amount of savings can be substantial, as evidenced by the estimated 3,000 candidate works reviewed for inclusion in this two-volume compilation.)

Quality as a relative matter is always difficult to judge, generally made more so by the absence of benchmarks as standards for comparison. Writings, however, are clearly not egalitarian; excellent work can easily be distinguished from the bad. The difficult but essential task is selecting from among many competent works those of distinction, and justifying this choice.

Two criteria guided the selection of these recommended references—relevancy and quality. The material must, of course, be *relevant* to the higher education universe. It must deal with or have a direct bearing on one or more of the classification topics. The only exceptions are a few volumes that deal with a single discipline as a science, e.g., management or economics, apart from the relationship to higher education, where the transfer value is readily apparent.

Quality in scholarly inquiry is interpreted here as having two assessible dimensions: substance, and distinctiveness or originality. To be included in the bibliography, entries must be substantial works containing enough useful, essential, or critical information to warrant a thoughtful reader's attention. Limited studies of marginal or restricted value have been excluded.

Entries must also make a *distinctive* contribution. Original work introducing valuable new analyses, procedures, observations, conclusions, data, etc., were sought. From a number of good works on the same topic, the best have been chosen. Syntheses or summaries of material are also included if they accurately capture and capsulize the main work. Thus, if compendiums effectively summarize and reference earlier studies, the studies themselves are generally not entered separately. Most works achieve excellence through a combination of new and existing research. Some older landmark studies remain distinctive when newer efforts fail to capture the unique contribution that so often characterizes the original work; recency in itself is no guarantee that anything new is being said.

Application of these criteria has resulted in the selection of many more books than journal articles. This weakness in coverage is due in part to the difficulty encountered in searching the many journals. The often narrow scope of papers and their frequent focus on specialized research findings as opposed to practical technology suggests other reasons for this limited inclusion. Some dissertations and fugitive materials met the criteria of substance and distinctiveness, but frequently were too specialized to be included.

Annotation. As titles give little or no information about the nature and value of contents, annotation is of vital importance. A full annotation explains what the volume is about and assists readers in identifying those entries most likely to meet their specific needs.

As with standard bibliographic practice, the annotations of this compilation outline the general content, scope, and special features of each entry. They are more than abstracts since the content is further examined to identify the unique contributions or distinctiveness. Also, the annotations may include evaluative and critical appraisal where such appraisal aids in interpreting worth.

Updating. Bibliographies do not age well. After just a year they show serious signs of senility—an unfamiliarity with what is going on around them. Research takes up from the past so that new discoveries eclipse what has preceded them. An extreme case occurs when a comprehensive treatise is published that effectively summarizes and thereby renders obsolete a host of earlier fragmentary works. Hence the modern bibliographer must play an active role in keeping in touch.

An attempt will be made to update this bibliography by providing periodic supplements of new material. Updated comprehensive editions will be published less frequently. In most instances, older material will be retained in new issues of the bibliography for historical purposes. This process will be greatly facilitated and made more accurate with the cooperation of readers in informing the appropriate associate editors of candidate material. Copies of, or information on, books and journal articles believed to meet the selection criteria should be brought to their attention. (A *Special Request* guide is included to aid in such notification.) This joint effort will expand the search capacity considerably and thereby reduce the chance of oversight.

Acknowledgments

The work of recent bibliographers deserves special citation. M. M. Chambers, Roger R. Kelsey, Lewis B. Mayhew, and L. Richard Meeth[4] covered the field of higher education in

[4]Chambers, M. M., *A Brief Bibliography of Higher Education in the Middle of the Nineteen Sixties,* School of Education, Indiana University, Bloomington, 1966.
Kelsey, Roger R., *A. H. E. Bibliography on Higher Education,* American Association for Higher Education, Washington, D.C., 1963-74 (1968 composite volume).
Mayhew, Lewis B., *The Literature of Higher Education,* American Association for Higher Education, Washington, D.C., 1965-72.
Meeth, L. Richard, ed., *Selected Issues in Higher Education: An Annotated Bibliography,* Teachers College Press, Columbia University, New York, 1966.

the sixties and early seventies with a personalized style and rare commitment not likely to be seen again. Discontinuation of their work, which prompted this effort, reminds us of our dependence on their service.

While the editor had the concept for this bibliography and the idea for its publication, the associate editors had the responsibility for topic definition and entry selection and annotation. They have performed this arduous work diligently and professionally with scant reward.[5]

Appreciation is due Jim Manion and Susan Florian and the International Business Services, Inc., staff for the excellent management of this project, editing the entries, and compilation of the author index.

At the National Institute of Education, David Mandel and Marc Tucker established a responsive and supporting environment that made this intramural research possible and enjoyable.

All research is progressive and collective, the more recent advancements of a few depending on the earlier contributions of many. The very real value of the hundreds of works that have been examined but are not included in this volume is fully recognized. For these investigators, proper perspective is best described by Emily Dickinson's great definition, in her *Publication is not the business of poets:* being a poet is all, being known as a poet is nothing.

Kent Halstead

[5]Reaping a mixed bag of rewards, bibliographers will appreciate Elliott Coues' comments. He was for a decade (1878-88) obsessed with bibliography and proposed to write a *Universal Bibliography of Ornithology*. Only four installments were ever published, and even this effort is extraordinary. Of this period he wrote:
"I think I never did anything else in my life which brought me such hearty praise.... from ornithologists who knew that bibliography was a necessary nuisance and a horrible drudgery that no mere drudge could perform. It takes a sort of inspired idiot to be a good bibliographer, and his inspiration is as dangerous a gift as the appetite of the gambler or dipsomaniac...Perhaps it was lucky for me that I was forcibly divorced from my bibliographical mania; at any rate, years have cured me from the habit, and I shall never be spellbound in that way."

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SPECIAL REQUEST

Although this first edition is intended to be complete and accurate, it is not. Library searches by a few experts, however thorough, cannot possibly provide the comprehensive coverage and collective evaluation required. Additional information from the research and professional education community is necessary. Your participation, in the areas outlined below, will ensure that the high level of confidence sought for the bibliography is obtained. Please respond directly to the associate editors involved. Their addresses and telephone numbers begin on page xxiii.

***What works do you feel meet the selection criteria and nominate for inclusion? (Candidate material may be older volumes and soon-to-be published works, as well as new editions. To facilitate evaluation and entry, authors should provide copies of nominated works and draft annotations.)

***What existing entries lack the necessary value and should be reviewed for possible exclusion?

***What improvements can be made in annotation? (Authors in particular are encouraged to send revisions and/or extensions to assist in properly annotating their works.)

***What changes in the taxonomy of topics and subtopics do you recommend?

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Classification System

SUBJECT—*Higher education* comprises the activities, organizations and programs, resources, and corporate knowledge of colleges and universities and proprietary schools, together with the associated state and national organizations and Federal agencies serving these institutions.

VOLUME I—Topics generally studied in an aggregate universe or collective whole at the state or national level—a macro approach.

VOLUME II—Topics generally studied in the context and from the perspective of the individual institution or campus—a micro approach.

NOTE: Volumes I and II are *not* exclusive in their approaches; continuity and completeness of subject matter are primary objectives for every topic.

VOLUME I
1: COMPARATIVE NATIONAL SYSTEMS

2: DEMOGRAPHY
  1.0 Social Demand
    1.1 General
    1.2 Population Size, Composition, Growth,
      and Migration
    1.3 Participation Rates and Enrollment
  2.0 Sectoral and Institutional Structure and Performance
    2.1 Demographic Structure of Faculties
    2.2 Sectoral Efficiency and Planning

3: ECONOMICS
  1.0 Incentives and Student Behavior
    1.1 Effects of Prices of Educational Services
    1.2 Effects of Labor Market Variables
  2.0 Incentives and Faculty and Institutions
    2.1 Interactions Between Institutions and Students
    2.2 Measures of Existing Incentives on Faculty
    2.3 Issues in Altering Incentives on Faculty
      and Institutions
  3.0 Incentives and Public and Private Funders
    3.1 Interactions Between Public and Private
      Funding
    3.2 Tax Policy and Donor Behavior
  4.0 Economic Impact of Higher Education on Students
  5.0 Incidence of Benefits and Costs of Educational
    Subsidies

4: EDUCATIONAL OPPORTUNITY
  1.0 General Issues
  2.0 Adults
  3.0 Ethnic Minorities
  4.0 Handicapped
  5.0 Underprepared Students
  6.0 Women

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5: FINANCE
   1.0 General
   2.0 Federal Role
   3.0 State Role
   4.0 Studies of Higher Education Segments
       4.1 Graduate Education
       4.2 Medical Education
       4.3 Private Colleges and Universities
       4.4 Community Colleges
   5.0 Financial Condition of Institutions
   6.0 Data Sources

6: GOVERNANCE AND COORDINATION
   1.0 Evaluative and Analytic Studies
       1.1 General
       1.2 State Role
       1.3 Federal Role
   2.0 Descriptions of Coordinating and Governing
       Arrangements

7: HISTORY
   1.0 General
   2.0 Institutional Histories
   3.0 Admissions, Articulation, Secondary Schooling
   4.0 Students
   5.0 Curriculum
   6.0 Biography and Autobiography
   7.0 Learning and Scholarship

8: INDEPENDENT (PRIVATE) HIGHER EDUCATION
   1.0 State Government Role
   2.0 Federal Government Role
   3.0 Issues and Policy
   4.0 Financial Policy

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37: **STUDENT AFFAIRS**
1.0 General Issues
2.0 Career Development and Counseling
3.0 Student Residential Life
4.0 Student Rights
5.0 Student Health Services
6.0 Student Athletics

38: **TEACHING AND LEARNING**
1.0 Teaching
2.0 Learning
3.0 Students and Teachers
4.0 Instructional Support and Development

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Admission/Articulation/ Retention

Robert G. Cope

Admission and retention are the essential elements for establishing and maintaining student enrollments. With declining numbers of high-school graduates, colleges now are more concerned than ever with effective marketing, first for attracting students and then for providing programs for keeping them enrolled.

The literature annotated here[1] should be useful to administrators, planners, and faculty, for it includes research findings and practical recommendations on techniques and mechanisms to improve admissions, tighten curricular articulation, and enhance retention when beneficial to *both* learner and institution.

Admission and Articulation. The admissions literature deals with different issues every year. Ten years ago the primary issue appeared to be merit versus equal opportunity; then there was a shift to how to implement the open-door approach. Now

[1] The limited literature on admission and retention of graduate students was judged not to be of sufficient value for institutional planning to warrant inclusion in this bibliography. This section is therefore restricted to the undergraduate level.

1

there are a variety of intertwined issues: legal matters, such as the constitutionality of quotas and reverse discrimination; political matters, such as how to implement acts of legislatures; marketing problems, such as how to compete for fewer students; and consumerism, such as how to advertise fairly. (Demographic developments affecting the size and quality of the applicant pool are annotated in Topic 2, Demography.)

The literature on articulation focuses upon statewide coordination, public/private school differences, and common school/postsecondary system differences. Other articulation topics deal with the types of institutions affecting "horizontal" or "vertical" flows of learners from high school through lifelong learning.

Retention/Attrition. Studies of attrition, or as it is more popularly called today, retention, have been conducted for over 50 years. The literature selected summarizes what is known about rates of leaving or staying, and the individual characteristics (intelligence, sex, goal commitment) and institutional characteristics (type, selectivity, size) associated with rates of retention.

Other important literature related to admissions, articulation, transfer, and retention will be found under Topic 2, Demography; Topic 17, Student Financial Assistance; Topic 22, Community Colleges; Topic 24, Curriculum; and Topic 37, Student Affairs.

TOPIC ORGANIZATION

19: Admission/Articulation/Retention

    1.0 Admissions and Articulation

    2.0 Retention/Attrition

1.0 ADMISSIONS AND ARTICULATION

19:1.0/80-1

Achieving Optimal Enrollments and Tuition Revenues, William Ihlanfeldt, 267 pp. (Jossey-Bass, San Francisco).

Drawing on approximately 20 years of experience with college admissions and financial aid, William Ihlanfeldt has prepared a how-to-do-it guide to the recently more popular practices of marketing, including the possibilities for alternative tuition pricing systems. In his words, he "...seeks to help administrators improve their effectiveness

in achieving their enrollment objectives by managing cost-effective recruitment and admission strategies." Obviously, terms such as effectiveness, objectives, managing, cost-effective, and strategies indicate a modern management perspective.

The book begins by setting out most of the now familiar statistics on the probable enrollment declines over the next two decades, with a few new observations, e.g., more than 20 percent of first-time college-enrollments are among high-school graduates who delayed entrance from 1 to 3 years.

He goes on to stress the need for management to take a marketing approach to harmonize the mission of the institution with market interests. While this language may have a discordant ring about it, the text is reasonably well supported by authoritative observations, and his illustrations (with many well-conceived examples directly from practices at Northwestern University) make this a useful guidebook to the new marketing.

The text slips at frequent intervals from providing fresh insights to commonplace observations, yet there is a wealth of practical information and several provocative ideas.

19:1.0/80-2

"Student Matriculation Decisions and Financial Aid," Michael L. Tierney, *Review of Higher Education,* Vol. 3, No. 2, Winter, pp. 14-25.

While this is both a research article and one that attempts to address national policy issues, it is also one of the few items in the literature that effectively address the possible effect of different institutional tuition and financial aid practices. The article also provides information that would be useful for conducting studies to determine just why students might decide to matriculate at a particular institution.

One of the results relates to the public-private competition for students. The author finds "relatively few students are actually involved in direct...competition at the final stage in the college choice process." As another sample of the thought-provoking findings, consider this observation, "Student loans...do not appear to deter students from matriculating at a private institution. In fact, some families may perceive the government subsidies underlying most loan programs and actually want to finance their child's education with such loans."

At one place, 21 variables are identified, all relating in varying degrees to college choice, such as: my teacher advised me; I was offered financial assistance; I wanted to live at home; and so on. The article should be examined before over-simplified institutional research

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is conducted or assumptions are made about why a particular college
is chosen.

19:1.0/79-1

**Admissions, Academic Records, and Registrar Services, C.
James Quann and Associates, 481 pp. (Jossey-Bass, San Fran-
cisco).**

For those interested in the administration and planning of stu-
dent registrar services, this book is the most comprehensive available.
Among the 13 chapters, such topics as academic records, scheduling
catalog preparation, grades and transcripts, information systems,
academic calendar, and commencement are addressed. All topics are
treated from both theoretical and practical perspectives, and many ex-
amples of successful programs are presented. The publication is spon-
sored by the American Association of Collegiate Registrars and Ad-
missions Officers.

Chapter 1 provides general information about the position of
registrar in the institution and presents organizational alternatives for
carrying out these functions. Specific responsibilities are outlined for
such areas as school-college relations, foreign admissions, university
admissions, and veterans affairs.

Chapters 2 and 3 present detailed discussions of admissions
policy. Organization of the office, legal issues, retention, marketing,
applicant pool identification, and variations in requirements for dif-
ferent categories of applicants are among the topics covered.

The internal and external relationships and responsibilities of the
registrar are discussed in Chapter 4. Accrediting agencies and state
and Federal offices are examples of organizations with which the
registrar must work.

An extensive presentation of the advantages and disadvantages
of different academic schedules is presented in Chapter 5. Variations
for smaller colleges are also discussed.

Chapter 6 discusses alternative registration systems, the collec-
tion of tuition and fees, and the preparation of the catalog.

Chapters 7, 8, and 9 present reviews of options, noncollege ex-
perimental learning, the continuing education unit, requirements for
the retention of records, computer systems analysis, and the use of
computers. Specific examples of computer systems registration at
various campuses are presented.

Commencement, current calendar types, institutional research,
and information about the registrars' professional association services
constitute the subjects of the final chapters of the book.

There are seven appendixes, which present the major professional organization standards on good practice, transfer of credit, and ethics.

This book is the basic reference for administrators in higher education whose task it is to develop and improve policies and practices in student registrar services.

19:1.0/79-2

Bakke, Defunis, and Minority Admissions: The Quest for Equal Opportunity, Allan Sindler, 358 pp. (Longman, New York).

Compared with several earlier analyses of the tangled web of issues involved in the two principal minority admissions cases reaching the Supreme Court, this book gives not only the facts, but delves more deeply into the principles and prejudices than the other works. Its particular value is to the serious scholar wishing to obtain the deepest possible understanding of the political, legal, and moral thickets surrounding preferential admissions.

19:1.0/78-1

Minority Admissions, Robert Bailey, 213 pp. (Lexington Books, Lexington, Mass.).

Fortuitously, Robert Bailey's book was released from the publisher the very week in which the Supreme Court announced its decision in the *"Bakke case"*. It is fortunate, then, that this book made a comprehensive review and discussion of minority admissions available at a time when background information was needed to appreciate the broad significance of the *Bakke* case, and in time to consider the well-described complexities associated with admissions generally and with minorities and discrimination in particular.

The book contains sections dealing with academic admission requirements, predictions, and the major problems of student selection when specific reference has not been given to minority applicants. The book then launches into an exhaustive discussion of the problems associated with minorities, and ends with an illustration of the complete argument presented by the judges of the California Supreme Court as well as the brief presented by the University of California regarding the *Bakke* case.

Readers are provided with advice for designing early outreach admissions programs that are in accordance with the *Bakke* decisions. This is a practical book.

19:1.0/78-2

"Transfer Students in Institutions of Higher Education,"
Samuel S. Peng, *Research in Higher Education*, Vol. 8, June,
pp. 319-342.

The purpose of this study is to describe the extent of college
transferring and to examine differences in background characteristics
between transfers and nontransfers. Using a national probability sam-
ple drawn from the 1972 entering class, the study covers the 2-year
period since initial matriculation.

Data are from a sample of over 20,000 high-school seniors.
Educational and work experiences, plans, aspirations, attitudes, and
personal background characteristics were measured over three points
in time: Spring, 1972, Fall and Winter of 1973-74, and Fall and Winter
of 1974-75.

Major findings include the following: 25 percent of the 2-year
college students transferred to a 4-year institution, and 16 percent of
the 4-year college students moved to another 4-year institution;
students were more likely to transfer from private than from public in-
stitutions and students moving from 2-year to 4-year institutions con-
stituted the largest transfer group; horizontal transferring among
4-year institutions was common among students with higher
socioeconomic backgrounds and with higher college grades who
entered college with lower aptitude test scores; financial conditions
seemed important in transferring, as many students transferred to
lower cost institutions regardless of socioeconomic background.

It is increasingly important to know who transfers, to what type
of institutions they transfer, and for what reasons. This is the first
data appearing in a readily available article that can be generally ap-
plied to all institutions of higher education. The article includes 11
data-tables and some guidance on methodology. References include
technical reports, and a bibliography of related studies. The research
is based upon a contract with the National Center for Education
Statistics.

19:1.0/78-3

The Bakke Decision: Retrospect and Prospect, Charles M.
Holloway, ed., 85 pp. (College Entrance Examination Board,
New York).

This is a summary report on six seminars held by the College
Board at colleges across the country during July and August 1978, im-
mediately after the Bakke decision. The report contains several
background papers written from legal, educational, and admissions
practices standpoints prepared prior to the conferences and—most

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beneficial—the statement that summarized the legal, educational/
social, and admissions problems the decision caused.

The report quotes the relevant sections of both the case and the
Constitution as background prior to a careful discussion of the shades
of disagreement among lawyers as they interpreted the intent and im-
plications of the Supreme Court's decision. Perhaps the most valuable
portions of this document, beyond the nuances pertaining to the
issues, is the presentation of the details of the Harvard admissions
program and the probably viable alternatives to it developed by a team
of admissions officers.

The combination of well-presented issues and the practical im-
plications for diverse institutions makes this essential post-Bakke
background literature.

19:1.0/77-1

Selective Admissions in Higher Education, Carnegie Council on
Policy Studies in Higher Education, 256 pp. (Jossey-Bass, San
Francisco).

This report is a valuable contribution to the difficult policy
issues inherent in special admissions for disadvantaged students. This
Carnegie Report proves useful because it addresses the issue from two
standpoints—one, how to think about admissions to selective schools,
and the other, what to know about admissions policies and practices.

The report consists of three parts. Part 1 presents the recom-
mendations of the Carnegie Council for public policy as well as
academic policy regarding special admission of disadvantaged
students. The policy recommendation portions start out with the
skeletal facts about the Bakke case as background for discussion of
the value-laden issues involved in balancing individual and group
equity. The basic point made is that racial quotas are potentially ini-
quitous and demeaning, yet "it would be a serious handicap to higher
education if institutions were precluded from taking account of the
race of applicants."

Parts 2 and 3 were prepared by the Educational Testing Service
at the request of the Council. Part 2, authored by Winton Manning,
addresses the issue of fairness in admissions and arrives at a 2-stage
model which makes a distinction between *admissibility,* which
establishes the minimal qualifications necessary for success in the in-
stitution, and *selection* which seeks to choose from among qualified
applicants the students who would make the "best" entering class.

Part 3, prepared by Warren W. Willingham and Hunter
Breland, presents a statistical description of selective admissions and
the impact on various groups. Data are presented separately for

undergraduate and graduate colleges and for the professional schools of law, medicine, and management.

The report as a whole offers valuable statistical and descriptive information accompanied by thoughtful suggestions for dealing with the complex issues involved in selective admissions and the preferential treatment of ethnic minorities.

In addition to the discussion of issues, the book includes a substantial summary of data in tables that are useful for considering national policy. Among the tables are those on degrees earned by sex, field of study, and minority status; and admissions and degree data for professional schools of medicine, law, and management.

This is a well-balanced presentation on the quantitative and qualitative dimensions of admissions programs as they pertain to both minorities and nonminorities.

19:1.0/77-2

University Admissions: Dilemmas and Potential, Carol Shulman, 52 pp. (American Association for Higher Education, Washington, D.C.).

Why the title of this summary of the literature on admissions includes the term "university" is a mystery. Nowhere in the document is the discussion limited to universities, nor are universities even mentioned as a special case. Instead the monograph (one of an annual series of research reports) analyzes the admissions concerns of the 1960's, describes their transformation into the 1970's and comments upon the current admissions problems relative to all types of institutions.

The context of this literature review is social goals and how they are or are not related to admissions practices. Topics addressed include legal problems in admissions, the applicant pool, financial considerations, recruitment and marketing, notification, and the student as consumer.

Carol Shulman is one of the most able synthesizers working in higher education and this document is the "last word" on issues prior to the decision on Bakke v. The Regents of the University of California.

A comprehensive bibliography, covering both admissions practices and issues through early 1977, supplements the review.

19:1.0/77-3

The Many Faces of Educational Consumerism, Joan Stark and Associates, 224 pp. (Lexington Books, Lexington, Mass.).

If there was a book about "everything-you-always-wanted-to-know" about student consumerism, this is it. The chief value of this

multi-authored document is its comprehensiveness. The book begins with the historical antecedents of the student as an educational con- sumer, and continues with a well-balanced presentation of debates concerning responsibility to protect the student. It ends with pro- ductive suggestions involving Government agencies,-students and institutions.

Throughout most of the book, the authors are critical of institu- tions for not following fair practices. Theirs is largely a consumer viewpoint, yet opposing views are also represented.

Aside from its comprehensiveness, one of the book's important values is the clear exposition of issues. Another is the substantial list of references at the end of each of its 16 chapters.

19:1.0/74

College Transfer Students in Massachusetts: A Study of 20,000 Transfer Applicants to 48 Massachusetts Colleges and Univer- sities for Fall 1973, Ernest Beals, 103 pp. (Massachusetts Board of Higher Education, Boston, Mass.) ED 096 927 MF—$1.14; HC—$6.31.

Ernest Beals has conducted the most detailed state-level analysis of transferring students to date. In the late 1960's the students in northeastern institutions were finding opportunities to transfer among institutions severely limited by the restrictive practices of both public and private institutions. According to the author, Massachusetts, with most of the students and institutions, had a particularly chaotic situa- tion. These institutions would not allow credits to transfer, and private institutions would not accept community college students from public institutions. There appeared to be a need for more information about transferring students: From where do the transfer students come, and in what numbers? Where do they apply? Where are they re- jected? Where do they enroll? What are their previous and current academic characteristics? What are their important demographic characteristics? What are the transfer students' educational aspira- tions?

This is probably the best example of a statewide transfer study, providing as it does answers to all of the questions posed above, and others. The report, now available only in microfiche through Educa- tional Resources Information Center (ERIC), describes the method of study and presents data effectively as a guide to state planning. A survey form is illustrated in the appendix along with a modest bibliography.

19:1.0/73-1

Continuity and Discontinuity: Higher Education and the Schools, Carnegie Commission on Higher Education, 116 pp. (McGraw-Hill Book Co., New York).

This Carnegie Commission report, one of a series, focuses on the interactions between high schools and colleges. The discussion is set in an historical perspective, including the last 100 years of admissions practices, and ranges widely to provide observations on the value of the doctor of arts degree and the education of both teachers and high-school administrators. Particular topics include the college admissions processes, how high school and college curricula are reciprocally influential, the desirability of new structural patterns to improve admissions, and the mechanism by which high school-college relations are maintained.

There is a substantial range of material in this modest volume. The concluding 30 recommendations, although lacking focus, do weigh state and national policy considerations in the full context of high school-college relationships. Since the newly reorganized (1980) Carnegie Foundation for the Advancement of Teaching will be giving top priority to studies of the high school and its relationship to college, the Foundation should have a new report on this subject in the near future.

19:1.0/73-2

Middleman in Higher Education, Frederick Kintzer, 188 pp. (Jossey-Bass, San Francisco).

Instead of the author's term "middleman," the book's title might better represent the content if it were "Transfer Admissions in Higher Education." The book's emphasis is upon transferring from the community college to a baccalaureate-degree-granting institution; the content, however, ranges from articulation problems between high school and college to articulation problems among postsecondary institutions.

While several recent titles have focused upon articulation, no book comments better on the latest perspectives. The one exception is that the 50 very brief state profiles are now out of date. Even the author's 1974 *Updating Statewide Articulation Practices* (ED-105-949. MF-$1.14; HC-$1.88), published by the Institute of Higher Education, University of Florida, is dated.

Most of the book consists of sample articulation programs that states had studied and implemented. The major value of the book is not, however, program description but clues on how state planners might evaluate the effectiveness of different articulation models. The

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one caution about the book—possible now because of hindsight—is not to accept the optimistic statements about how well this or that state system policy is working.

See also: 9:1.4/72-2 Where Colleges Are and Who Attends, C. Arnold Anderson, Mary Jean Bowman, and Vincent Tinto.

2.0 RETENTION/ATTRITION

19:2.0/80-1

Attrition and Retention: Evidence for Decisionmaking, Oscar Lenning et al., 133 pp. (National Center for Higher Education Management Systems, Boulder, Colo.).

This document is not without serious limitations; yet it contains a complete summary of the literature, a comprehensive set of references, and a valuable syntheses for reviewing and advancing conceptual frameworks for further research.

The major limitation is the problem inherent in the document's two parts: Part One is a conventional review of the literature; Part Two attempts to advance the field by resolving differences in the previous conceptual literature and by offering a new unifying concept of retention and attrition. Different authors obviously worked on these parts, which results first in duplication and second in different interpretations of the same previous findings. The result is a further muddying of an already murky literature. This problem is compounded by the authors' student services bias and their educationist jargon (factors, substantive learning, student-orientation programs). Thus, it is not always clear what the research is saying and how balanced the interpretation is.

Nevertheless, this report is clearly an essential reference for both administrators and researchers. The referenced documentation far exceeds anything available earlier, and the several attempts at synthesizing parts of the literature are especially valuable for guiding research. It will be years before another comprehensive effort will be required.

19:2.0/80-2

What Works in Student Retention, Philip E. Beal and Lee Noel, 135 pp. (The American College Testing Program, Iowa City, Ia., and the National Center for Higher Education Management Systems, Boulder, Colo.).

This report is important for three reasons. First, it shifts the focus of 50 years of research from the negative to the positive—from

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why students leave college to how they can be encouraged to stay, from attrition to retention. Second, it focuses upon tractable variables. Too much research has been done on the effects of family size, social status, high school grade point average, intelligence, sibling order, sex, size of high school, religion, and similar "fixed" variables rather than on variables that colleges can do something about: orientation programs, counseling, financial aid, adequate information, and so on. And finally, the report suggests a broad range of actions that cut across many college activities and that could, with retention as the focal point, have a broad impact on institutional quality.

19:2.0/78-1

"Studies of College Attrition: 1950-1975," Timothy Pantages and Carol Creedon, *Review of Educational Research,* Vol. 48, No. 1, Winter, pp. 49-101.

The primary value of this literature review is a comprehensive taxonomy of attrition/retention-related phenomena: age, sex, socio-economic status, hometown location and size, size and type of high school, high school GPA and class rank, scholastic aptitude, first semester college grades, study habits, motivational level and commitment, reasons for attending college, vocational and occupational goals, educational interests, parental influence, peer-group influence, personality traits, college environment and personality, college size, housing, student-faculty relationships, finances, health, student reports of reasons for withdrawal, sex differences, type of institution, types of dropout, the withdrawal procedure, and programs to reduce attrition. Only race and religion are not included. A sample of the literature is discussed in relation to each portion of this taxonomy. And the review article contains the most exhaustive bibliography outside of Cope and Hannah (1975). The authors conclude, and correctly, "...that attrition is the result of an extremely intricate interplay among a multitude of variables."

Aside from their conclusions, the authors' other summary observations are dubious, as the authors may generalize too far from a limited number of studies on any single part of the taxonomy. Moreover, while their review appeared in 1978 and the title indicates comprehensiveness through 1975, it appears the work actually was done in the early 1970's, as it does not include many of the more significant studies of the mid-1970's, particularly Astin's *Preventing Students from Dropping Out* (1975).

Departing at the conclusion from their review of attrition literature, the authors present 11 program ideas to enhance student retention.

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19:2.0/78-2

Reducing the Dropout Rate, New Directions for Student Services, Lee Noel, ed., 108 pp. (Jossey-Bass, San Francisco).

This volume is intended as an action-oriented resource guide for campuses that are seeking to reduce rates of attrition. The general advice throughout, as presented by a wide variety of researchers, student personnel officers, and senior administrators, is: serve students better.

While each institution will have to design its own program to improve retention, a wide range of concrete ideas from both research and practice are presented. It soon becomes obvious that the ideas are not linked simply to reducing attrition, but are linked to doing everything any college should do well to maintain quality student personnel as well as quality academic programs.

The volume contains an excellent annotated bibliography. The practical suggestions along with the bibliography would well serve any campus retention team seeking to be certain it had a checklist covering "all the bases."

19:2.0/75-1

Preventing Students from Dropping Out, Alexander W. Astin, 204 pp. (Jossey-Bass, San Francisco).

Alexander Astin, clearly *the* expert on nationwide student attrition/retention data, has written this book on the basis of a 1972 followup study of over 100,000 students who entered college in 1968. The strength of the book in matters of planning and policy is that it focuses upon tractable variables: financial aid, effects of employment, place of residence and campus environment, characteristics of the college, and matching student and institution. In addition, Astin presents a prediction model that might help institutions identify students who are "attrition prone" as part of an early warning system. The book also presents the literature's most carefully considered definitions for such terms as "dropout," "persister," and "stopout."

Astin's conclusions regarding the impact of various forms of financial aid, such as loans, parents, and scholarships and the effects of employment, should be carefully studied to avoid simplistic policy approaches. He lucidly explains the caveats for both research and policy, and ends the book with a complete taxonomy of the implications of attrition/retention for institutions, for state and national policy, for students, and for further research.

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19:2.0/75-2

Revolving College Doors: The Causes and Consequences of Dropping Out, Stopping Out and Transferring, Robert Cope and William Hannah, 190 pp. (John Wiley & Sons, New York).

This book was written specifically to help institutions identify and respond to the loss of students through attrition. After a substantial review of research on attrition/retention, the authors present a series of case studies of institutions and students with a view to demonstrating the multifaceted problems associated with the "revolving college doors." They conclude that stopping out, delayed entrance, transferring, and even dropping out are not harmful to either student or institution.

Appendixes include illustrations of forms used in retention studies.

See also: 16:1.3/68, Beyond High School James W. Trent and Leland L. Medsker.

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Business Administration

D. Francis Finn
assisted by Abbott Wainwright

Business administration refers to a broad array of accounting, administrative, and management functions of a college or university that are generally a responsibility of the chief business and financial officer. The breadth of this topic can also be understood as including all institutional functions, with the exception of academic affairs (instruction, research, public service, and academic support such as libraries), student services, and institutional advancement (fund raising, public relations, and alumni relations).

The immediate management of these activities includes design of the systems employed, maintenance of records and accounts, conduct of financial analyses, and provision of appropriate controls and audits. But the business administration function has additional responsibilities of greater duration. Reports must be prepared and presented that clearly communicate the fundamental nature and trends of institutional activities, and they must be understood by a diverse audience that ranges from students to parents and the public, to members of the governing board. The business administration function must

also create awareness of and provide information on how resources are being used to advance institutional goals and on the effectiveness of their employment.

The topic outline used here for the bibliographic organization of the business administration function has little similarity to the actual organization of the business and financial activities found in colleges and universities. Indeed, no typical organization exists. Certain activities, however, are distinctive: planning and budgeting, accounting and recordkeeping, internal control, auditing, handling of receipts and disbursements, financial reporting, cost studies, personnel administration, facilities planning and management, investment management, purchasing, risk management and insurance, safety and security, administrative data processing, and legal services. These activities are carried out for the educational and general functions, auxiliary enterprises, hospitals, and independent operations.

Most of these activities are covered in this chapter, while some are found in other chapters. Those for which the chief business and financial officer generally *assumes* responsibility but which are covered elsewhere are: budgeting (see Topic 29: Institutional Financing and Budgeting); facilities (see Topic 21: Campus and Building Planning, and Topic 36: Space Management and Projection); and management information systems and data processing (see Topic 23: Computing Services). Those activities for which the chief business and financial officer usually *shares* responsibility and which are covered elsewhere are: planning (see Topic 31: Institutional Planning, Studies, and Analyses); and management (see Topic 30: Institutional Management).

In times of financial stress, which for many institutions appears to have been a common experience in the 1970's and will be in the 1980's, effective business administration becomes an expected necessity, not a distant goal. For some institutions in peril, the quality of business administration may well spell the difference between survival and extinction.

Accounting. Included in accounting are the functions related to control, analysis, verification, and reporting of financial revenues and expenditures. The subject is broad, and entries range from the conceptual to the practical. The available conceptual studies deal with accounting for nonprofit (or nonbusiness) organizations, of which colleges and universities are a

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subset, similar in some ways and different in others. The activity of the Financial Accounting Standards Board in this field signifies changes and possibly greater uniformity in reporting among such organizations.

Administration. This generic title includes comprehensive works that cover many subjects in higher education administration plus two selected subjects that are institutionwide—personnel and legal. The personnel and legal fields are dynamic, and references to them, especially those based on laws and regulations, are quickly dated.

Asset Management. This title refers to the acquisition, preservation, management, and control of financial and physical resources. The financial resources referred to here are those that may be invested, such as endowment, while accounting (as defined above) refers to the inflow and outflow of financial resources rather than to their investment. The purchasing and risk management aspects of real and personal property are included under this heading. The management of physical facilities is covered in Topics 21 and 36. References on asset management are subject to rapid change, and investment managers, risk managers, and purchasing agents must be continually aware of the economic influences affecting their fields.

TOPIC ORGANIZATION

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1.0 ACCOUNTING
1.1 General

20:1.1/80

A Management Reporting Manual for Colleges: A System of Reporting and Accounting, K. Scott Hughes, Jerry H. Leonard, M. J. Williams, Jr., 73 pp. (National Association of College and University Business Officers, Washington, D.C.).

This manual is intended to assist college business officers in establishing sound accounting systems and in preparing meaningful financial management reports. Its authors stress the need for simple, straightforward, and accurate reports that are readily understandable to members of governing boards and to administrators who lack a technical accounting background but that do not sacrifice the precision essential for an efficient accounting system.

Chapter 1, "Management Reporting," covers budgets and operating reports, and emphasizes users' needs for adequate and timely information. Numerous examples of reports are included to stimulate the development of appropriate reports at individual institutions. These reports include such areas as student recruitment and admissions, student financial aid, personnel, budget control, auxiliary enterprises, and development programs.

Chapter 2, "Accounting," describes and graphically depicts a model chart of accounts and related coding structure to be used in developing a fund accounting system for a specific institution. The accounting system is then illustrated in a series of flow charts (cross-referenced with exhibits in the manual) and brief accompanying descriptions of accounting procedures.

The manual includes two appendixes. The first provides definitions of accounts, and the second includes blank reporting forms.

20:1.1/78-1

Accounting for Colleges and Universities, Clarence Scheps and E. E. Davidson, 384 pp. (Louisiana State University Press, Baton Rouge).

This book, the third edition of a work first published in 1949, is essential for persons requiring a reference on accounting procedures and transactions (as opposed to accounting principles or standards) in a college or university. Although parts of the first three chapters are outside the scope of a book strictly on accounting, they do aid in defining the business office environment in which the accounting function resides. These chapters cover: general principles; the development, organization, and personnel of the business office; and purchasing and central stores.

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The remainder of the book includes chapters on the following: (1) classification of accounts; (2) preparation and control of the current funds budget; (3) current funds—expenditures, disbursements, and interfund transfers; (4) current funds revenues and receipts; (5) data processing systems; (6) accounting for endowment and similar funds, and annuity and life income funds; (7) accounting for loan and agency funds; (8) accounting for plant funds; (9) physical plant inventory; (10) cost accounting; (11) internal control and audit; and (12) financial reports and statements.

The accounting principles advanced in this third edition agree with those contained in the third edition of *College and University Business Administration* (q.v.) and in the AICPA audit guide, *Audits of Colleges and Universities* (q.v.), so users need not be concerned about inconsistency. Those volumes do not (and are not intended to) provide the detail necessary for many practitioners, but such detail is found in this book. In fact, the preface states that, "In a sense this book can be viewed as a companion volume to *CUBA* because it illustrates actual entries, ledger accounts, journals and registers, and forms and documents which are only described in principle in the latter volume."

Over 100 forms contribute to the usefulness of the book. There are 90 general forms, including a purchase order, budget requests, interdepartmental invoice, request for personnel action, travel authorization, reimbursement voucher, equipment ledger card, and many other vouchers, journals, and ledgers. Six monthly internal reports are provided, as well as 23 annual reports, most of which are schedules to the primary reports that are also presented in this volume.

As an example of the book's practical nature, Chapter 9 is devoted entirely to an illustration of accounting for current funds. First, the current funds section of the balance sheet at the beginning of the period is given. Following this, transactions are entered in journal form and posted to ledger accounts. Then, a balance sheet before closing entries are made is presented. Finally, closing entries are entered and posted, and a balance sheet and statement of changes in fund balances are prepared. One thus "walks through" the transactions.

An index is provided, as well as a list of charts, forms, and reports.

20:1.1/78-2
Financial Accounting in Nonbusiness Organizations: An Exploratory Study of Conceptual Issues, Robert N. Anthony, 205 pp. (Financial Accounting Standards Board, Stamford, Conn.).

This book is important for those interested in accounting concepts as they relate to colleges and universities. Professor Anthony documents the arguments for and against certain issues in nonbusiness accounting, such as depreciation, but does not take a position on resolving any of them. Resolution of issues is not one of the purposes of this study.

Included are the following broad topics: (1) the users of external financial reports, such as governing boards, donors, and creditors, as well as their information needs concerning financial viability, fiscal compliance, management performance, and cost of services; (2) the need for a report on operating flows separate from a report on capital flows, the need for an operating statement, the need for a report on cost of services, the inclusion or exclusion of encumbrances in flow statements, aggregated vs. separate statements, and conceptual issues related to the balance sheet; (3) measurement of nonrevenue operating inflows (the terms "revenue" and "income" are avoided altogether), measurement of endowment earnings, charges for the use of capital assets, accounting for pension costs in the period services were rendered, and reporting donated services as expenses; and (4) separation of business and other organizations for the purpose of accounting concepts and inclusion or exclusion of Federal and/or state government from accounting concepts for nonbusiness organizations.

For the theorist or practitioner, this book contains the major issues in nonprofit accounting, with detailed descriptions of each.

1.2 Financial Reporting

20:1.2/79-1
Assessing Financial Health, New Directions for Higher Education, No. 46, Carol Frances and Sharon L. Coldren, eds., 104 pp. (Jossey-Bass, San Francisco).

The 12 papers contained in this issue of "New Directions" were selected from those presented at an annual conference on assessing financial health, cosponsored by the American Council on Education, the National Association of College and University Business Officers, and the National Center for Education Statistics. Each presents a different aspect of the larger subject, and most of them concern either financial analysis or identification of indicators such as cash flow. Some of the papers stress the importance of accounting statements in analysis.

The authors of the papers are well-known in the field. Frances and Stenner discuss problems in earlier efforts and what must be done in the way of improvement. Jenny and Wilkinson suggest modifications in financial reporting, and Jenny also suggests cash flow and capital consumption data to increase understanding. Dickmeyer discusses analytical methods for small institutions, which would not require the use of computer models. Means of assessing comparative financial health are presented by Collier and Patrick (based on an NCHEMS project), Wing (based on New York State's monetary process), and Minter (based on his work with independent colleges). The usefulness of h.GIS data is discussed by Patrick and Collier. Finn cautions that the purposes of the analysis must be clearly stated before the method can be determined, and Farmer presents the public policy uses of indicators.

At the end of the volume are four useful lists for readers desiring more information: current projects, related work, Federal agency interest, and readings.

20:1.2/79-2

Financial Responsibilities of Governing Boards of Colleges and Universities, 103 pp. (Association of Governing Boards of Universities and Coll. s and National Association of College and University Business Officers, Washington, D.C.).

The purpose of this book is to improve communication between the administration and the governing board, particularly with respect to financial information. Because the communication problem was approached from the board's point of view, the project that resulted in this book was a "first"; the information needs of the administration and of public accounting firms are not primary here.

The text traces the flow of funds through the programs of the institution: from acquisition to allocation and expenditure of operating funds, to protection and enhancement of capital assets. It stresses financial accounting information for managerial rather than fiduciary purposes. The relevance of financial outcomes to program decisions is noted, policies relating to financial decisions are stressed, information is suggested for analyzing performance to achieve objectives, and some financial indicators are proposed. One point made throughout is that administrators should communicate financial information continually to the board so that it is regularly apprised of the financial status and progress of the institution and its programs.

Standards of good practice are presented, such as the establishment of policies and the need for a long-range plan. Several important features are that the basic financial data used throughout are from the formal financial statements found in *College and University Business*

Administration, and are consistent throughout the book. There are many "suggested questions" in the text to serve as a stimulus for discussion for members of governing boards, the president, and academic and business officers.

Essential to an effective communication system is close cooperation among the chairperson of the governing board, the chairperson of the finance committee (if there is one), the president, and the chief business officer. The ideal role of the board is described, and the kind of information it should have for decisionmaking is presented in three categories: routine and periodic financial reports, presentations requiring board discussion, and background reports. Suggestions are provided for presenting financial information, for planning board meetings (and the agenda), and for scheduling issues for the board.

The following are the subjects of individual chapters: (1) context for financial planning and management; (2) generating financial resources; (3) spending financial resources; (4) managing and protecting financial resources; (5) planning and budgeting; and (6) implementation. The last chapter contains 18 reports that are useful for the board, and concludes with a section on self-evaluation. It is mentioned there that the text could serve as a checklist to determine how effectively an institution is communicating with the board.

20:1.2/75

User Needs: An Empirical Study of College and University Financial Reporting, K. Fred Skousen, et al., 139 pp. (National Association of College and University Business Officers, Washington, D.C.).

This report is unique in that it seems to be the only document of any study of user needs in financial reporting. It has thus served as the basis for other work in financial reporting for nonprofit organizations, for in every report, to communicate most effectively, the designer or compiler of information should be familiar with the information needs of the audience.

The study on which this report is based was conducted by a research team at Brigham Young University. The study findings may be summarized as follows. (1) Primary external users of general-purpose statements are identified as banks and other financial institutions, Federal Government agencies, state government agencies and auditors, foundations, accreditation officers, state budget officers, alumni, and state coordinating councils. (2) College and university business officers perceive that such statements are widely used to evaluate financial stewardship, to make budgetary and resource allocation decisions, and to make program analyses. Credit extending and making gift decisions were also perceived as being important to

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certain users. (3) External users make various types of decisions with respect to a college or university, including extending credit, making gifts, making appropriations, entering into service contracts, matriculating, approving accreditation, and determining the need for an audit review. (4) In making decisions, external users are concerned with overall reputation, goal congruence, financial stability, revenue sources, latitude in resource use and transferability, human resources, and stewardship. (5) To evaluate relevant criteria, decisionmakers want and need to know the total financial picture of the institution, the primary reasons for the change in total fund balance, the position of the institution relative to its operating financial stability, and statistical and other supplementary data that are helpful in evaluating overall progress being made toward goals. (6) Financial statements have not been used as extensively or as effectively as they might be. (7) A change in existing guidelines and formats is required to satisfy the needs of users. (Specific recommendations are presented.)

1.3 Auditing

20:1.3/73

Audits of Colleges and Universities, 78 pp. (American Institute of Certified Public Accountants, New York).

The so-called "audit guide" (as amended by AICPA Statement of Position 74-10) is analogous to Part 5 of *College and University Business Administration (CUBA)*. It is directed to the external auditor rather than to institutional personnel, and does not include as much definition as *CUBA*. The guide's organization is also similar to that of Part 5 of *CUBA* in that general principles related to fund accounting, accrual accounting, depreciation, and other topics are covered first. Individual chapters deal with unrestricted current funds, restricted current funds, current funds revenues, current funds expenditures and transfers, loan funds, endowment and similar funds, plant funds, other fund groups, financial reports, and reports of independent auditors.

A helpful feature of the guide for those who follow the history of college and university accounting is a summary of significant changes from the 1968 edition of *CUBA*, including references to sections of the text where a discussion of these changes may be found.

1.4 Grants and Contracts

20:1.4/77

Accounting, Recordkeeping, and Reporting by Colleges and Universities for Federally Funded Student Financial Aid Programs, 73 pp. (Bureau of Student Financial Assistance, Office of Education, Department of Health, Education, and Welfare, Washington, D.C.).

Known as the "blue book," this manual identifies common problem areas in administration of Federal student financial aid programs (BEOG, SEOG, NDSL, and CWS) and discusses means of resolving them. The manual stresses the need for an integrated program and full staffing for student aid administration, and the text is not segmented into separate parts for the business officer and financial aid officer.

Many illustrations of general journal entries (especially for the DHEW Federal Assistance Financing System accounts—DFAFS) and other records of transactions are included. Indeed, the lack of timely and adequate records is one of the reasons for this manual. The various sources of information for completing all parts of the Fiscal Operations Reports (OE 1152) are identified, as are sources for the BEOG progress report and the recipient report of expenditures.

A detailed outline for a procedural manual is included, covering the request, receipt, control, disbursement, accounting, and reporting of student aid funds. Major sections of the outline are: (1) general, covering the need for a history of financial aid, the philosophy of financial aid at the institution, and the types of aid available; (2) financial aid office procedures, covering purpose of the office, administrative structure, and procedure for processing, recordkeeping, and reporting; (3) business office procedures, covering the same three topics as in (2) above; (4) calendar of activities; (5) annual operating evaluation; and (6) illustrated forms. Appendixes include the terms of agreement for the campus-based programs, institutional agreement for the BEOG program, and excerpts from the HEW audit guides.

This blue book is authoritative in that the various revisions benefit from review by several higher education associations involved in student aid, as well as from review by independent certified public accountants familiar with college and university accounting.

20:1.4/75

Government Contracts and Grants for Research: A Guide for Colleges and Universities, Reagan Scurlock, 415 pp. (National Association of College and University Business Officers, Washington, D.C.).

Colleges and universities cannot adequately support a high level of research activity with their own limited funds. And the Government must rely on the obvious wealth of expertise within these institutions for the conduct of research required for national goals. This volume deals with accountability, the complex system developed by the Government for the dispensing and eventual use of funds, and with the various restrictions and conditions, evaluations, and selection process of Government contracts and grants.

The volume is divided into four parts. Part I consists of sections describing the characteristics and procedures of the research grant and the research contract. This part is useful for those administrators lacking extensive experience in Federal contract and grant areas. Part II includes analyses of approximately 100 contract clauses developed for use in research contracts with the Federal Government. Part III consists of several sections. The first provides background material on the development of cost principles. The second presents the policies and procedures of 43 private foundations and volunteer health agencies. The remaining sections consist of three specimen agreements and a large number of specimen contract clauses covering a broad range of topics. Part IV consists of a glossary and alphabetical index that will assist the research administrator and investigator in using this guide.

This volume was revised in 1976.

20:1.4/72

Grants Administration, William Willner and Perry B. Hendricks, Jr., 278 pp. (National Graduate University, Washington, D.C.).

Within Federal departments, changes are continually being made with respect to the management of grants and contracts. These changes affect the purposes for which grants and contracts are awarded, the distribution methods, and the monitoring procedures. Universities, colleges, and other nonprofit institutions are all being affected.

The authors have prepared this volume to assist organizations in securing and managing grants and contracts with Federal, state, county, and city governments. The subject matter is equally useful for other nonprofit organizations. The information provided concerns

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both grantor and grantee, although the needs and expectations of the grantee are stressed.

Of particular interest are chapters on costs (concerned with the formulation of uniform principles to be applied Governmentwide to determine costs as they pertain to research and development performed by institutions), the role of the grants administrator, organizing the grants office, and proposal assistance.

1.5 Student Aid

20:1.5/79

Management of Student Aid, 276 pp. (National Association of College and University Business Officers, Washington, D.C.).

This manual, which is designed to help those who make decisions concerning student financial aid, stresses the principles, practices, responsibilities, and controls involved in administering aid programs. The manual is intended to present the financial aid process, help senior administrators to understand the effects of student financial aid on their institutions, and promote self-regulatory mechanisms for the postsecondary education "industry."

The manual traces the flow of funds, management activities, and legal issues as they occur in the financial aid process, emphasizing sound management principles of a general and permanent nature rather than specific governmental requirements that may change from year to year. Topics covered include the institutional implications of student financial aid, planning and acquiring financial aid resources, activities and responsibilities of the financial aid office, the disbursement process, fiscal management, billing and collection, auditing and compliance, special issues in management and control, and a summary of the student aid process. A bibliography and glossary are included. Appendixes keyed to the chapters show sample forms and letters. For example, the appendix to the chapter on the financial aid office includes such samples as a financial aid application, a statement of financial independence, and a financial aid transcript. The appendix to the chapter on billing and collection shows samples of statements of rights and responsibilities for various loan programs, demand letters and notices, a loan collector's guide, a collection flow chart, and information on loan cancellation and deferment requirements.

Management of Student Aid is the product of a consortium of the major associations serving institutional business officers, institutional financial aid administrators, and high school counselors. It is designed to help all persons working in the student aid area, from counselors to auditors. A brief companion document to the manual,

prepared especially for trustees, presidents, and senior administrators, is available from the American Council on Education, One Dupont Circle, Washington, D.C. 20036.

2.0 ADMINISTRATION
2.1 General

20:2.1/74

College and University Business Administration, 267 pp. (National Association of College and University Business Officers, Washington, D.C.).

This volume, which is addressed to chief business officers in colleges and universities, documents principles, policies, practices, and procedures for all business and financial areas of an institution that come under the purview of these administrators. The book represents a consensus on the best practice in the state of the art at the time of publication. This consensus is the result of an extensive review process involving experts in all the subject fields covered, as well as a broad panel of business officers in every kind of institution, large and small, 2-year and 4-year, public and independent. This volume is considered the authoritative reference work for college and university business administration.

The book is indexed, and each chapter includes an exhaustive bibliography. The preface indicates the history of college and university business administration in general and of this book in particular. The book has six principal parts, each of which covers a specific topic. Part 1 deals with business management in higher education. Part 2 examines various aspects of administrative management, including institutional planning, management information systems and data processing, risk management and insurance, administration of sponsored programs, legal services, student aid, personnel administration, faculty and staff benefits, and labor relations and collective bargaining. Part 3 discusses business management, with particular examinations of: purchasing; auxiliary enterprises, organized activities, and service departments; facilities operation and maintenance; facilities planning, design, and construction; security; and safety. Part 4 covers fiscal management encompassing investment management, budgets and budgetary accounting, internal control and audits, and the administration of endowment funds, quasi-endowment funds, and other similar funds. Part 5 discusses financial accounting and reporting, and includes discussions of the fundamental concepts of financial accounting and reporting, current funds, plant funds, financial reports, and loan, endowment, annuity, life income, and agency funds. Part 6 provides a bibliography.

2.2 Personnel

20:2.2/80-1

Benefit Plans in Higher Education, Francis P. King and Thomas J. Cook, 385 pp. (Columbia University Press, New York).

This fifth volume in a series that began in 1940 is the most comprehensive yet. Among the areas covered are retirement, life insurance, health insurance, and short- and long-term disability income plans. The section on social security has been expanded, and regulation and the cost of benefits are included for the first time. This book resulted from a survey of over 2,000 colleges and universities, and for the first time, data from both senior and junior institutions are presented in the same volume.

Three major personnel categories are used for classification in the book: (1) faculty—instruction/research, (2) administrative/managerial/other professional, and (3) other employees. Two of the tables presented are especially interesting for comparative purposes: one shows type of benefit arranged by percentage of payroll within control of institution and the other shows type of benefit arranged by expenditures per employee within control of institution.

The two chapters on retirement give a breakdown by type of plan (state or local teacher retirement system, public employee retirement system, TIAA-CREF, self-funded or trusteed plan, insurance company plan, and church pension plan). Much of the text here is devoted to an explanation of annuity principles, the two kinds of retirement plans (defined contribution and defined benefit), and the investments and funding of retirement systems. A chapter on retirement plan provisions discusses the benefit objectives and the various factors in retirement plans, such as entry age, waiting period, contribution rate, vesting, retirement age, and benefits. Knowledge of these factors is as valuable to the prospective retiree as to the administrator of a retirement plan.

Included in these chapters are tables illustrating: disposable income before and after age 65 retirement; survival of persons retiring at age 65; required and voluntary participation in TIAA-CREF retirement plans; waiting period for required plan participation in TIAA-CREF plans; vesting provisions in public retirement systems; sharing of retirement plan contributions; employee contribution rates; formula percentage factors in public retirement systems; limits on benefits in public retirement systems; salary averaging periods in public retirement systems; normal retirement age; earliest normal retirement age as determined by longest stated service requirements in public retirement systems; normal retirement age as determined by

shortest stated service requirement in public retirement systems; normal faculty retirement age in TIAA-CREF plans; actuarial reduction factors; retirement benefit increase provisions in public retirement systems; and escalator provisions in public retirement systems.

Chapters on life insurance, health insurance, and disability plans occupy exactly as many pages combined as the retirement chapters, and the survey results for those plans are also illustrated by tables. The chapter on social security is an excellent presentation of a complex subject, and concludes with a section on the financial prospects of the social security system. The chapter on regulation and taxation discusses the background of this activity, and then treats in detail ERISA, ADEA, and the taxation of annuities. An index is provided.

20:2.2/80-2

Personnel Practices for Small Colleges, Ronald A. Bouchard, 180 pp. (National Association of College and University Business Officers, in conjunction with the College and University Personnel Association, Washington, D.C.).

This book is presented as a practical guide for chief business officers in small colleges who have responsibility for the personnel function, for administrators of personnel departments in small colleges, and for new or inexperienced staff members of personnel departments in large institutions. The need for such a guide—one that would provide fundamental materials for developing and maintaining a sound personnel program—has frequently been expressed by administrators in higher education. This book addresses this need; it is not a discussion of theory, nor does it cover in detail all aspects of the personnel function. It deals chiefly with staff employees, and only indirect reference is made to faculty or to student employees.

A wide assortment of sample forms, contributed by a number of colleges and universities, are included as illustrative material and form a valuable part of the book. Also included are a glossary and a bibliography. The book underwent extensive review by members of both publishing associations, and the resulting consensus helps to insure its authority in documenting best practice in the field.

The book is divided into five chapters: (1) "Employment" (including recruitment, selection, assignment, and separation); (2) "Compensation" (dealing with wage and salary administration, including objectives, job analysis, wage rates and pay ranges); (3) "Benefits" (including noninsured, insured, and statutory benefits); (4) "Training and Development" (including needs assessment, types of training programs, and performance appraisal); and (5) "Personnel Policies and Procedures" (including material on employee handbooks, sample policy statements, and collective bargaining).

20:2.2/79-1

Guide to Leadership Development Opportunities for College and University Administrators, Charles F. Fisher and Isabel Coll-Pardo, eds., 197 pp. (American Council on Education, Washington, D.C.).

This guide is designed to acquaint executives and staff members in higher education with the considerable range of leadership development programs and opportunities offered throughout the country. It is intended to serve as a reference to major national and regional seminars, workshops, conferences, institutes, internships, and other services. The manual provides descriptive information to help the reader in selecting the opportunities of greatest interest, relevance, and convenience.

The guide describes 248 programs and 470 activities offered by 136 sponsoring organizations. To be included, programs must be relevant to developing administrative knowledge and skills and open to a relatively broad constituency in terms of participant eligibility, geographic representation, or both.

A general introduction to the guide is followed by a "matrix of opportunities" summarizing activities by theme or problem area and by participant focus. Programs and activities in the following areas are then described: career planning and development; administrative role, orientation, and professional updating; organizational and personnel management; planning, budgeting, and decisionmaking; financial development, fund raising, and public relations; and student learning, activities, and support services. All of the programs described are listed chronologically in a calendar. About 100 college and university inhouse leadership training programs are also listed. Appendixes offer additional sources of information.

20:2.2/79-2

CUPA 1978-79 Administrative Compensation Survey, Karen A. Farber, U. E. Landauer, R. Frank Mensel, and Seymour Sokatch, 133 pp. (College and University Personnel Association, Washington, D.C.).

This report provides information on the salaries paid for scores of management positions common to college and university operations. The 1978-79 survey, based on actual fall 1978 salaries, draws data from about 1,500 institutions and is cross-referenced and indexed according to enrollment, budget, region, type of institution, and independent or public status.

Published every year for the last 4 years, the survey results have become much in demand for two reasons: (1) institutions' need for

data in the same operating year in which it is collected in order to effectively plan budgets for the next year; and (2) the continued rise in inflation in the last decade that has created sharp fluctuations in salary standards.

This year's data cover 81 positions. Salaries are at an annualized, full-time rate and reflect only actual cash earnings, excluding any services contributed without charge. The positions cover chief executive officers, vice presidents, directors of various departments, and departmental deans. Salary data provide the median and interquartile ranges for each position. Also included are tabulations of relative job worth by position and classified by enrollment, budget, region, type of institution, and independent or public status. This information is based on median salary and is expressed as a percentage of the chief executive officer's salary.

For budget planning, establishing salary pay rates, or simply reviewing an institution's salary structure against national or regional information, this source is the most comprehensive study of its kind.

20:2.2/78

Handbook for College Administration, Benjamin E. Sprunger and William H. Bergquist, 340 pp. (Council for the Advancement of Small Colleges, Washington, D.C.).

The title of this book hardly denotes its emphasis on personnel administration in small colleges. It is indeed a handbook: very easy to use and full of sample procedures and forms. Chapters 1 and 2 are concerned primarily with the principles of college administration and with planning, respectively. The remainder of the volume contains chapters on organizing, staffing, leading, evaluating, and developing. At the end of each chapter are sample procedures and forms.

After a discussion of factors that influence organization, the chapter on organizing contains three sections: the board of trustees, the administrative structure, and the committees. Authority and accountability are discussed, and the "documents" section provides model bylaws, organization charts, contents of an organizational manual and of a faculty handbook, and others.

The staffing chapter includes sections on personnel selection and on personnel and staffing practices. For the former, the following steps are discussed: personnel planning and forecasting; formulating job specifications and a job description; locating persons who fit the specifications; assessing applicants against the specifications and selecting a final candidate; and selling the final candidate on the job. For the latter, practices are discussed that deal with promotion, compensation, tenure, affirmative action, grievance procedures, and termination. Many sample forms complement this chapter.

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The chapter on leading also contains two parts: leadership and communication. The first part discusses theories of leadership, and the second presents typical barriers to effective communication. The chapter on evaluating contains key elements of monitoring; monitoring through budget; nonbudget monitoring techniques, such as personal observation, special reports, consultant audits, and time-event charts (Gantt, milestone, and PERT); functions and problems of administrator evaluations; and six approaches to such evalutions: unstructured narration, unstructured documentation, structured narration, rating scales, portfolios, and management by objectives. Many useful forms for carrying out evaluation follow the text.

The important subject of administrator development closes the handbook, and three kinds of programs are described: professional, personal, and organizational. A development agenda for college administrators is presented that lists 25 skills, divided into two groups: "enabling" and "performance."

This comprehensive handbook should serve as an excellent refresher course for experienced administrators, as well as a basic text for those lacking experience. For both, the sample procedures and forms will be useful.

2.3 Legal

20:2.3/79

The Law of Tax-Exempt Organizations, 3rd edition, Bruce R. Hopkins, 653 pp. (John Wiley & Sons, New York).

Tax law as it affects colleges and universities becomes increasingly complex each year, as evidenced by the many changes between the second and third editions of this book. Although several topics covered, such as organizations other than colleges and universities, may not be of interest to the higher education administrator, there is a wealth of applicable information made easily accessible by appendixes of Internal Revenue Code sections, cases, IRS rulings, and a detailed index.

Of special interest are chapters on educational organizations, legislative activities, and regulation of public charities, as well as the parts on private foundations (14 chapters) and on feeder organizations and unrelated income taxation (five chapters). Mr. Hopkins writes for the trustee and student as well as for the lawyer, and he includes his own ideas on many of the issues.

20:2.3/78

The Law of Higher Education, William A. Kaplin, 500 pp. (Jossey-Bass, San Francisco).

This book provides an overview of higher education law that is elementary enough for the layperson, while detailed enough to be useful to experts in the area of higher education law. Summaries of recent laws, regulations, and court decisions as they affect higher education, as well as information on older laws and regulations as new interpretations by the courts are advanced, are included. Basic legal principles are clarified in language easily understandable to anyone interested in higher education law.

The first chapter provides background on the subject and prepares the reader for the materials that follow. Major cases in postsecondary institutional law, such as the *Bakke* and *Horowitz* cases, are discussed here. Chapters 2 through 4 cover legal concepts and issues that affect internal relations among members of the campus community. Chapters 5 through 7 deal with the institution's relations with local, state, and Federal governmental entities, and relate the activities of government to the internal relations discussed in Chapters 2 through 4. Chapter 8 deals with an institution's external relationships with educational accrediting agencies. These many relationships create an interesting and complex perspective from which to visualize the developing relations between higher education and law.

In 1980, the author published *The Law of Higher Education* (184 pp., Jossey-Bass), which is a companion volume to the 1978 edition. It covers developments in higher education law from mid-1978 to the end of 1979.

20:2.3/76

Legal Liabilities in Higher Education: Their Scope and Management, Ray J. Aiken, John F. Adams, and John W. Hall, 329 pp. plus sample forms (Association of American Colleges, Washington, D.C.).

The rapid development of the equal opportunity movement and of consumerism, among other factors, has made colleges and universities targets for a wide range of legal actions involving, in some instances, substantial damage claims and legal costs. Liability represents an effort to provide insights into both the legal problems involved and the steps that institutions, trustees, and officials may take to protect themselves.

This book is divided into two sections. Section I classifies and defines the potential legal responsibilities and liabilities of higher education and summarizes the pertinent constitutional provisions,

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statutes, and case law with respect to each general class. In this section, the authors concentrate on the way in which the legal system has failed to understand the workings of the educational institution and on the failures of educational institutions to conform their procedures adequately to the demands of the law.

Section II conceptualizes and describes some of the risk management procedures for use with liability loss exposures, specifically in the context of higher education. The chapters in this section describe the thrust and techniques of risk management and review the standard and special insurance coverage available for the spectrum of specific risks in the liability area to which higher education institutions may be subject. Further, these chapters outline the risk management approach and its techniques, describe liability insurance as a risk management tool (both standard forms and the possible need to develop manuscript coverages), and liability insurance marketing and general applications. The section concludes with a chapter describing the applicability of risk management techniques to the liability exposure problems of higher education in a number of specific situations, with some emphasis on insurance.

3.0 ASSET MANAGEMENT
3.1 Investment Management

20:3.1/80

Results of the 1979 NACUBO Comparative Performance Study and Investment Questionnaire, 105 pp. (National Association of College and University Business Officers, Washington, D.C.).

This study, conducted annually since 1971, has been expanded to include more than information on investment performance. Topics added over the years include gifts to endowment; custodial fees; option writing; life income funds; nonsecurity assets; assets over which the institution has no control, such as investor letter stock and donor-restricted assets; application of the total return concept for budgeting (including an exhibit listing the institutions and their spending rate formulas); and use of the depository trust company. Two exhibits list the participating institutions and their investment managers and endowment custodians.

In the 1979 report, investment pools of 147 institutions are included. The major breakdowns are over $50 million, $10 million to $50 million, and under $10 million, although several tables use a finer classification. For the year ending June 30, 1979, a wealth of statistics is presented: institutions ranked by endowment market value; performance by period; asset component return (stocks, bonds, cash, miscellaneous); income performance; asset diversification; risk meas-

urement and return; stock and bond turnover; and investment advisory fees and direction.

20:3.1/77

Cash Management and Short-Term Investments for Colleges and Universities, Leonard H. Haag, 160 pp. (National Association of College and University Business Officers, Washington, D.C.).

This book is divided into two parts covering daily cash management and short-term investment of working capital (primarily concerning investments that mature within 1 year). The more permanent types of investments, such as endowments, are not included in this book.

Some of the cash management aspects discussed include the time value of money, bank relations and bank compensation, managing cash receipts, managing cash disbursements and using float, pooling resources and pooling investments, cash flow projections, transferring funds, and how to organize for effective cash management. Included in short-term investing are considerations of risk, liquidity, yield, and legal restrictions. Various short-term investments are described, such as certificates of deposit, savings accounts and savings deposit receipts, treasury and agency securities, bankers' acceptances, commercial paper, repurchase agreements, and money market funds. There are chapters on calculating and improving yield, and on record-keeping and measuring effectiveness.

Also included in this book are a glossary, a bibliography, and a chart of common short-term securities that indicates the characteristics of each, their usual minimum denominations, normal maturity term, earnings computation basis, usual source of purchase, and a reference to the chapter in the book where they are discussed. These features make this book a valuable desk reference in both large and small institutions.

20:3.1/75

Funds for the Future, The Twentieth Century Task Force on College and University Endowments Policy, 206 pp. (McGraw-Hill Book Co., New York).

Convinced that private colleges and universities represent a vital national resource, and concerned about obvious demographic, economic, and financial difficulties, the trustees of the Twentieth Century Fund decided to assemble an independent task force to consider and report on the controversial and important issue of endowment policy. Rather than concentrating solely on the management of

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endowments, the task force chose to examine endowment policy in a broad context. They thus gave attention to the need for active programs to build endowments and to integrate endowment policy with spending policy, and they emphasized the importance of improving disclosure policies.

The first section of *Funds for the Future* is the report of this task for   ommendations addressed primarily to truste but   who are concerned about strengthening the fina   found   ns of private colleges and universities. The report covers responsibilities of the board of trustees, endowment building and management, formulation of spending policy, and financial and endowment reporting.

The second section of the book, a comprehensive background paper by J. Peter Williamson, provides factual information on the critical issues of endowment policy. Williamson deals with overall financial planning and the institutional endowment, objectives and management of the endowment, investment performance, information on investing endowment funds, spending policy, and endowment fund accounting and reporting.

Appendixes provide valuable information on such topics as deferred giving, custodianship and bank relations, short-term investment, and real estate equities.

20:3.1/72

Performance Measurement and Investment Objectives for Educational Endowment Funds, J. Peter Williamson, 94 pp. (The Common Fund, New York).

The measurement of investment performance for endowment funds depends on the method used. For comparing performance with other institutions, it is essential that the same method be used. Five methods, ranging from approximate to exact, are discussed.

The book has three parts that deal with: (1) measuring the rate of fund return, (2) measuring the risk of a portfolio, and (3) using these measures to judge past performance and to set future objectives. In measuring the rate of return, the author recommends a market value unit system calculated at least quarterly and preferably monthly. The geometric average rather than the arithmetic average is preferred since it recognizes changes in the size of the base on which the rate is based. Alternative methods are the dollar-weighted or time-weighted rate of return, which are used if cash flows are to be included (dollar-weighted) or not (time-weighted). In comparing investment performance, total return or the sum of the yield and appreciation are appropriate measurements.

Investment risk of the portfolio, the subject of Part II, is an essential factor in setting investment objectives and in measuring performance. Part III concerns a simulation approach to forecast the consequences of an investment strategy. The most important use of simulation is to help an investment committee decide how much variability or volatility is acceptable for their institution. It also can show the effects of different spending levels (for institutions on total return) and of change in emphas between growth and yield. Also stressed in this Part are the importance of communication among the investment manager, investment committee, and treasurer, and the selection of a strategy.

3.2 Purchasing

20:3.2/61

Purchasing for Educational Institutions, National Association of Educational Buyers, 282 pp. (Teachers College Press, Columbia University, New York).

The long-range goal of the purchasing function is efficiency—to obtain the maximum return in goods and services for each dollar spent in the procurement area. For educational institutions, where financial difficulties are frequent, the demands on those who handle the purchasing functions become greater. The book serves as a useful guide to principles and practices for the institutional purchasing office and demonstrates the economic advantage of sound purchasing for those interested in efficient business administration for educational institutions.

The book is comprehensive. It contains the practical aspects of purchasing, as well as theory. Chapters 1 through 4 are theoretical; they explain the evolution of purchasing as a function of the educational institution, the scope of the purchasing function as it relates to the business organization of a college or university, administrative organization, and purchasing as a career.

Chapters 5 through 15 cover more practical subjects, such as negotiations; placing the order, and procedures after the purchase order is placed; requirements to complete the purchase; procedures for dealing with special purchases, such as petty cash purchases, C.O.D. purchases, warranties, and guaranties; making decisions on quality, quantity timing, and prices; and choosing a supplier.

Chapters 16 through 20 cover additional information that concerns not so much the purchasing procedures, but the functions that the purchasing agent must perform as well: public relations—establishing good relationships with suppliers, faculty, and alumni; and

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. purchasing research—preparing reports for management; and policy formulation. A separate chapter on ethics is also included.

Although the book was printed in 1961 and may seemingly be ready for the archives, it has had three printings and remains the only volume of its kind in the purchasing area for educational institutions that is comprehensive and authoritative.

3.3 Risk Management and Insurance

20:3.3/72

Manag nd Insurance: Guidelines for Higher Education, John F. Adams, '56 (National Association of College and University Business Officers, Washington, D.C.).

This work is an approach to risk management in higher education, not a "how-to-do-it" manual. It sets forth the rationale and techniques for management of risks and the purchase of insurance. Its objectives are: (1) to highlight the significance of risk management in the operations of higher education and to bring this into focus for top-level administrators and trustees, so that such operations can be given appropriate emphasis; and (2) to provide background information and some policy and technical/procedural recommendations to those primarily responsible for insurance operations in higher education (including the business officer). The book attempts to give the business officer an understanding of the problems of risk management and to point out those who are knowledgeable in specific areas, to whom he or she may turn for help.

The individual chapters in the book concern the following: an overview of risk on campus; risks peculiar to higher education; discovering and evaluating risks and exposures; loss prevention and loss limitation; the nature of insurance; property insurance; casualty and liability insurance coverages; insured fringe benefits; higher education and the insurance industry; risk management, institutional administration, and policymaking; and evaluation of programs.

21

Campus and Building Planning

Alan C. Green
assisted by Seymour Zachar

A college or university campus is more than the sum of its buildings. It is the physical expression of the institution, its activities, and purpose. A campus provides a sense of place, a feeling created by the physical quality of its buildings, open spaces, landscaping, and setting—whether ivy-covered or urban gray.

A campus is a specialized place and its buildings are designed to perform specific functions. While no one facility is unique to higher education, higher education is the only enterprise in our culture that brings together in one place offices, libraries, classrooms, research laboratories, residence halls, theatres, gymnasiums, heating plants, and maintenance shops.

The literature that has been selected for this section provides basic information for two audiences: the owner/client of college campuses, represented by administrative and academic officers, and the architect/planner who, under contract to the institution, provides design and planning services.

The works selected have been divided into three sections: Planning Issues and Resource Allocation, Environmental Issues, and Facility Types.

Planning Issues and Resource Allocation. The references in this section attempt to move the reader away from traditional campus planning concepts. Whereas past planning assumed that changing needs were best met by new, costly, and energy-intensive structures, planning today must look at the efficient use of physical resources. Although few, if any, campuses are being planned *de nouveau,* there remains a demand for new buildings, alterations, and additions to existing plants. In addition, the concerns of planning have moved beyond the campus gate and must take a macroview of the society and the world in which the campus lives.

Environmental Issues. This section is intended to provide both client and designer with an awareness of major environmental issues. Works selected provide the academic officer general information and background on selected topics, and give the architect/planner technical information. It is intended that the works chosen will establish between the client and the technical person a common language and information base covering such areas as lighting, landscaping, accessibility, and planning.

Facility Types. Campus buildings represent a wide spectrum of facility types, usually involving special design requirements. These references provide the architect and client with specialized information on the more common types of campus buildings.

These selected references deal with the physical concerns and planning of the campus and its buildings. The entries represent a starting point for anyone engaged in physical planning, and identify further reading for people going into greater depth in areas of special concern. They also reflect a number of current issues such as accommodation of handicapped and elderly students, adaptive reuse of older buildings, incorporation of instructional technology, and design for energy conservation.

TOPIC ORGANIZATION

21: Campus and Building Planning

    1.0 Planning Issues and Resource Allocation
    2.0 Environmental Issues
    3.0 Facility Types

1.0 PLANNING ISSUES AND RESOURCE ALLOCATION

21:1.0/80

Managing Facilities More Effectively, New Directions for Higher Education, No. 30, Harvey H. Kaiser, ed., 114 pp. (Jossey-Bass, San Francisco).

Part of a quarterly series, this volume brings together the thinking of people who have spoken and written on the subject of effective facilities management. It addresses two key issues of the 1980s: how to restore what has been given a low priority, and what share of scarce resources to allocate to plant, so it serves future academic needs.

The chapters in this book provide an introduction to this timely subject. Included are articles on planning, management, rehabilitation and reuse, deferred maintenance, environmental needs of older students, space costing, and the state's new role in facilities planning. Stressing the need for planning in an era of reduced resources, the authors outline the problems of facilities management and offer specific strategies for change.

This work is a valuable introduction and guide for trustees, administrators, and others involved in higher education facilities management in the future.

21:1.0/79

Mortgaging the Future: The Cost of Deferring Maintenance, Harvey H. Kaiser, 58 pp. (Association of Physical Plant Administrators of Universities and Colleges, Washington, D.C.).

Deferring maintenance, once a seemingly harmless way to balance the academic ledger, is becoming a malignant growth, eating at the physical structure of the educational environment. If corrective steps are not taken, physical deterioration will become fiscal erosion of the institution.

The purpose of this document is to assist administrators in beginning the maintenance planning process. This brief, concise work defines deferred maintenance, traces its causes, discusses measurement, and presents the case for reversing this harmful trend.

The final section covers management and reporting structures for operating the contemporary campus effectively.

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21:1.0/77-1

Architecture and Energy, Richard G. Stein, 322 pp. (Anchor Press/Doubleday, Garden City, New York).

Campus architecture, especially on our older campuses, represents the range of architectural styles, construction, materials, and environmental comfort technology of the society and time in which it was built. Richard G. Stein's book carefully analyzes how and why our most recent campus buildings are expensive to heat, light, maintain, and operate. Technical terminology is explained and the reader should quickly learn the basic principles of environmental control. Stein does not offer ideas for "energy conservation." Instead, he discusses the style future architecture might take, in keeping with the principles of designing in harmony with nature.

The book is well documented and indexed; and, although there is no glossary, terminology is well explained. The nontechnical person will quickly understand "btu" and "kwh."

The book can easily be read cover to cover, but the book's organization allows selectivity, and bridges the gap between the architect and the nontechnical reader.

21:1.0/77-2

Space Costing: Who Should Pay for the Use of College Space?, Sy Zachar, 43 pp. (Educational Facilities Laboratories, New York).

This book argues for cost accounting or "space costing," the operating and maintenance expense of the physical plant to the academic units that occupy the space. It discusses how space costing might affect three areas of an institution's financial and resource distribution: utilizing space on campus, cost and funding of plant operation, and recovery of overhead costs for research.

The work touches on the relationship between plant and institutional mission, relationship of the physical plant department and the academic departments, territoriality ("my office, my building"), and changing curricular and enrollment patterns and their impact on space utilization. A model of space costing is presented, using decentralization of the plant resource allocation process. A listing of resources and examples of institutions that presently "space cost" is also provided. The book concludes by weighing the pros and cons of space costing.

21:1.0/76-1

Campus Planning and Construction—Physical Facilities for Universities and Colleges, Sam F. Brewster, 396 pp. (Association of Physical Plant Administrators of Universities and Colleges, Washington, D.C.).

This work details the elements of organizing a physical plant development program. Its orientation is *not* theoretical; rather, campus planning and construction issues are discussed from the perspective of the physical plant administrator. Examples in both the text and an appendix containing case histories illustrate a variety of methods that could be starting points for further investigation.

As the title implies, the author has brought together the integrally related issues of campus planning and construction. The text stresses the need to plan for long-range academic needs and rising maintenance and operation costs. It also discusses the importance of an ongoing working relationship between architect and campus administrators during a project.

The correlation between planning and construction is crucial in the face of the increasing challenges of energy management, educational technology, facility access for handicapped students, and changing campus population and needs. The book deals with each of these issues in concise chapters, which are subdivided and indexed for easy reference.

21:1.0/76-2

Energy Management, Energy Task Force, 140 pp. (National Association of College and University Business Officers, Washington, D.C.).

One of the most comprehensive works in the field of energy conservation, this manual was specifically written for higher education. It was developed for energy management workshops, and stands as a major work in the field.

The manual was designed for those "two campus administrators who bear prime responsibility for an energy management program—the physical plant director and the chief business officer."

It offers a step by step approach to energy management. The writing is clear and the work well organized. Some of the major section and subsection headings are: How Energy is Used, How Energy is Wasted, The Importance of a Data Base, Evolutionary Approach to Energy Management, Energy Finance and Investment, Sources of Funding, Economic Analysis Tools, Criteria for Choosing Energy Management Projects, Analysis of Purchased Utilities, Rate Structures, Power Factor, Demand Control, Utility Consultants, Energy

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Management and Organization Incentives. This handbook belongs in the planning, physical plant, and business offices of every campus.

21:1.0/75-1

Campus in Transition, Richard Dober and Cy Sargent, 74 pp., (Educational Facilities Laboratories, New York).

For the higher education administrator and planner, the 1970s has been characterized as the decade in which "the only constant is change." Most of the planning assumptions of the post-war decades (notably growth) have been subject to serious challenge. This report reviews these changing viewpoints—in financial constraints, institutional fragility, demographic shifts, changes in the "going rate," and new programs and service demands—and relates them to strategies for management of the physical plant. These strategies include redeploying campus space and time, using noncampus facilities as well as found and interim space, interinstitutional cooperation, and generating revenue from campus facilities. Examples of each strategy are included.

Although some of the data used to define the changes are dated, the underlying theme that planning assumptions must be challenged in the face of new conditions remains valid, as do the strategies for managing space. The report makes clear, especially for boards and administrators, that "business as usual" is not an adequate response to campus facilities planning.

21:1.0/75-2

Planning Building and Facilities for Higher Education, Unesco, 137 pp. (Dowden, Hutchinson & Ross, Stroudsburg, Pa.)

This work has been developed by Unesco for developing countries planning higher education institutions. The "Guide," as it is referred to, is intended to be used by administrators responsible for planning, by architects, and by those responsible for execution of projects. The planning process is first explained briefly, including the concept of "critical path," a program evaluation and review technique.

The planning, construction, and eventual operation of the facilities is broken down into 63 procedures. These in turn are arranged into six groupings: policy, planning, primary brief (programming); secondary brief, primary implementation (design and construction documents); and secondary implementation (construction).

The work, which includes a bibliography, is based primarily on American and British sources. The writing style is British and very concise.

"This Guide has been written so that it can be used in several ways. ...it can be used as a text book which introduces the reader to the various procedures involved in planning, design and construction of higher education facilities." It can also be used as a workbook.

The value of this book is that it explains both facilities planning and construction in a brief and concise manner. While not entirely suited to American institutions, this work can be used as a starting point as well as a general outline for any individual involved in campus and facility planning.

21:1.0/75-3

The Oregon Experiment, Christopher Alexander, Murray Silverstein, Shlomo Angel, Sara Ishikawa, and Denny Abrams, 190 pp. (Oxford University Press, New York).

This book is the master plan for the University of Oregon, but it does not contain multi-colored fold-outs on enrollment projections, nor the site for future parking lots. The master plan at Oregon is a process.

As the book states, typically, "a university master plan is a map. It is a map which portrays the university as it 'ought' to be, at some fairly distant future time—say twenty years from now. The map contains two kinds of elements—those which exist already and should according to the planners, stay where they are; and those which do not now exist, and which need to be built. Implementing such a plan, at least according to theory, is simply a matter of filling in the blanks, according to the land uses prescribed by the map. This approach seems sensible in theory. But in practice master plans fail—because they are too rigid; they cannot easily adapt to the natural and unpredictable changes that inevitably arise in the life of a community. It is simply not possible to fix today what the environment should be like twenty years from today and then to steer the piecemeal process of development toward that fixed, imaginary world."

The book recommends that the University of Oregon, and any other institution or community that has a single owner and a centralized budget, adopt "six principles" to replace its conventional master planning and conventional budgetary procedures: organic order, participation, piecemeal growth, patterns, diagnosis, and coordination.

These six principles provide direct linkage with users, planning officials, and architects. They allow for new construction and changes through expansion of existing order, rather than establishment of a new one. Future plans and needs develop from the campus, rather than having needs determined for the campus. User participation committees are structured through planning. Planning is coordinated,

ordered, and campus wide. The Oregon experiment moves planning from the top of the institutional pyramid to the base.

This approach to campus planning is in operation at the University of Oregon. It is not simply abstract thinking.

21:1.0/73

Educational Planning, Frank Banghart and Albert Trull, 463 pp. (Macmillan Publishing Co., New York).

Comprehensive educational planning is the development of a long-range guide that will use the best resources available to attain educational objectives and allow for continuous evaluation of the problems of the planning process itself. To accomplish this task, the book presents a seven-phase model. In turn, each phase becomes a section of the book: defining the educational planning process, analyzing the planning problem area, conceiving and designing planning tools, evaluating plans, specifying the plan, implementing the plan, and monitoring the plan in action.

The book has three stated objectives: to provide an understanding of planning procedures; to bring interdisciplinary developments (specifically urban processes and activity, economics, evaluative methods, and simulation) to the planner's attention; "...to reveal the general tools of analysis, evaluation and control usable in comprehensive educational planning processes, and especially those related to the planning of physical environments...."

The book is not a how-to manual. It attempts, instead, to provide a framework by which educational planners and others may use new tools or develop new approaches for solving the physical planning problems for an educational environment.

The book focuses on planning primary and secondary schools, but the majority of the text deals with the planning process. The scope and breadth of the book's treatment of planning is enormous.

Of major significance is the work's specific attention to physical planning. In addition to being a planning book, it is a scholarly work drawing on history, sociology, economics, and management. The work is very well organized and leads a reader through the entire planning process, providing a cognitive base that is both integral and absorbing.

21:1.0/63

Campus Planning, Richard P. Dober, 314 pp. (Reinhold, New York).

This is a book for architects and planners, whether within the structure of a college, university or university system, or in private practice. With its large horizontal format, three columns of text, abundant photos, plans, diagrams, tables and charts, and sources for additional information, the book presents a comprehensive view of the American campus.

There are two main sections, "The Campus and Its Parts" and "Campus Plans." The former includes chapters on various facility types—instructional, libraries, housing, student unions, research, etc. The latter focuses primarily on the planning process, with examples of physical plans as products of that process.

The book is enriched by a chapter on the historic evolution of the American campus, and by subchapters on "Social Phenomenon as Factors in the Academic Plan," "Style as Structure," and "Design Transition." It is more than a how-to and picture book; it is a thoughtful examination of many nonphysical issues that must be considered in planning.

It is a book from the mid-1960s, and its outlook is basically for growth. It does not deal with several current issues, notably: the changing nature of the student body, access by handicapped people, energy, and health and safety regulations. This does not render the book invalid; it does suggest that an update of this volume would be a contribution to the field.

See also: 34:1.0/78 **The Graying of the Campus,** Ruth Weinstock. Of most interest to physical planners is the chapter "Environments to Fit." Here, the emphasis is not on major capital investments, but on environmental management that assures a better fit between the campus environment and the older students. Included is guidance on physical barriers, transportation, information systems, lighting, acoustics, thermal comfort, special seating facilities, and out-reach sites.

See also: 36:1.4/71-1 **Higher Education Facilities Planning and Management Manuals** (7 vols.), Harold L. Dahnke, Dennis P. Jones, Thomas R. Mason, and Leonard C. Romney, 393 pp.

2.0 ENVIRONMENTAL ISSUES

21:2.0/79

Performance Criteria: Acoustics, Bolt, Baranek and Newman Inc., Acoustical Consultants, 141 pp. (State University Construction Fund, Albany, N.Y.).

This book provides a base for making design decisions on acoustics. It contains highly technical information and would be most useful to architects, engineers, and other professionals already knowledgeable about acoustics design.

The text is divided into two parts. Part I presents an overview of acoustical design considerations, including ambient noise, room acoustics, sound amplification, and sound transmission.

Part II contains "acoustical criteria sheets" for nearly 200 different space types commonly found in university facilities. The criteria should help the campus facilities designer and planner resolve acoustics-related problems, and become aware of other considerations for which specialized assistance may be needed.

The book includes a selected bibliography of additional publications on acoustics.

21:2.0/78

Learning From Fire: A Fire Protection Primer for Architects, Lars Lerup, David Cronrath, and John K.C. Liu, 99 pp. (University of California, Berkeley).

This report presents "a framework for the integration of fire safety issues within the larger context of the architectural design process." The work provides the architect with the knowledge and the vocabulary needed to communicate effectively with fire protection engineers and building officials.

The work is divided into four sections. The introduction gives a general overview of fire protection. The second section familiarizes readers with the vocabulary of fire, including "dwelling typology, walls or barriers, room and compartments, protection of people and the concept of fuel." The third section presents a model of fire development. Starting with the chemistry of fire, it dissects and describes fire "from its ignition to its termination, inside the confines of a spatial envelope." The last section develops the fire model into a design tool. According to the book, this tool will: point to the salient features of the physical environment in terms of fire safety concepts; permit the designer to make judgments about the physical environment in fire safety terms; and help facilitate the interaction between the architect and the fire protection engineer.

Three residential building types were selected to serve as examples. Two are typical of the college setting—attached ground access and attached elevated access. But the model is not restricted to the residential setting, and illustrates the fire protection problem in all building design.

The primer is an attempt to move architects toward a "performance oriented" approach to fire protection, instead of relying on building codes, which could result in the "lack of fire protection rather than its integration in the design process."

21:2.0/76-1

An Approach to the Design of the Luminous Environment, Albert G.H. Dietz and William M.C. Lam, 137 pp. (State University Construction Fund, Albany, N.Y.).

This report is divided into two parts, design principles and design practice. Beginning with an extensive glossary, the book carefully takes the reader through an explanation of "how we see, what we look at, what we see and how well we see."

Part two, design practice, is a how-to manual that takes the reader through programming, lighting budget, and design process. Programming contains a "space program chart" (SPC) which "is a comprehensive summary of all relevant criteria (except cost) that a designer needs in order to begin preliminary planning of a lighting for a particular space." Used as a communication tool among designers, clients, and programmers, the SPC can be used to develop and evaluate design alternatives. The lighting budget attempts to balance comfort, durability, appearance, and cost. The designer is taken through the "budgeting process" step by step, based on performance criteria required.

The last section shows the entire design process in linear format for the designer and client. Finally, a rating sheet is provided for comparing various systems. The appendix includes an extensive bibliography.

21:2.0/76-2

Architectural Accessibility for the Disabled of College Campuses, Stephen R. Cotler and Alfred Degraff, 133 pp. (State University Construction Fund, Albany, N.Y.).

With the Department of Health, Education, and Welfare's April 1977 issuance of the regulations for enforcement of Section 504 of the Rehabilitation Act of 1973, another mandate was given to college and university planners—accessibility for the handicapped.

This is a good basic reference document for planners concerned with the *architectural barriers* aspects of accessibility. The basic technical resource material, planning goals, and rationale for proposed access changes are thoroughly outlined. It is not a guide for meeting "504" *per se,* but will be helpful as a resource for an institution beginning to plan for the handicapped. Such planning must include program accessibility and support services, which this report does not cover. It is also limited in information for other than physical handicaps and does not place particular emphasis on facilities modernization.

A comprehensive policy section specifically written for planners reviews administrative policy problems and discusses solutions and institutional goals and objectives. Especially helpful are the sections on "rationale" that introduce each area of concern. Dimensions are given in both feet/inches and metric measure.

See also: **36:2.2/78-1 Creating an Accessible Campus,** Maggie Coons and Margaret Milner.

21:2.0/76-3
Handbook of Landscape Architectural Construction, Jot D. Carpenter, ed., 700 pp. (Landscape Architecture Foundation, McLean, Va.)

Set in a three-ring binder, this handbook is a compendium of 26 monographs which together represent a first attempt to document the "scope and content" of landscape architectural construction.

While the editor recognizes that he has not covered the entire field, the work is comprehensive in scope and depth. Written by teachers and practitioners in the field, the monographs are well illustrated and contain photographs, design specifications, and detailed elevation charts.

The monographs are: Preparation of Construction Plans, Layout of Landscape Elements, Environmental Impact of Construction, Surface Drainage and Structures, Subsurface Drainage Systems, Site Detailing, Water Systems and Irrigation, Concrete, Asphalt, Wood, Masonry, Paving, Retaining Walls, Water-Pools and Fountains, Rooftop Landscape Development, Light Building Construction and Canopies, Sports Facilities, Utility Design, Fences, Outdoor Electrical Systems, Pedestrian Circulation, Vehicular Circulation, and Legal Responsibilities and Record Keeping.

21:2.0/75

Designer's Guide to OSHA, Peter S. Hopf, 289 pp. (McGraw-Hill Book Co., New York).

As the guide states, "An architect who undertakes the design of a building where people are employed or a plant manager who is responsible for operating virtually any type of facility is concerned with part 1910 of OSHA." The book's intent is, to provide graphically the requirements of the act as they affect building design and operation.

The book takes the relevant OSHA standards for specific design and working conditions, (materials handling and storage, electric power, ionizing radiation protection, ventilation, etc.) and provides design and construction methods, using text and graphics, for each specific standard. This work is equally important to the physical plant and the planning office.

21:2.0/73

Defensible Space, Oscar Newman, 264 pp. (Macmillan Publishing Co., New York).

The author maintains that "Defensible space is a model for environments which inhibits crime by creating the physical expression of a social fabric that defends itself. ...an environment in which latent territoriality and sense of community in the inhabitants can be translated into responsibility for ensuring a safe, productive, and well-maintained living space." He sees "defensible space" as a surrogate term for the range of mechanisms—real and symbolic barriers, strongly defined areas of influence, and improved opportunities for surveillance—that combine to bring an environment under the control if its residents.

Although the text discusses only residences in urban locations, (including two college dormitories), the concept of defensible space to provide security can be applied to urban and rural campuses. There are significant detailed discussions of territoriality, institutional image and milieu, natural surveillance, and the impact of density on inhabitants.

21:2.0/69

Personal Space, Robert Sommer, 177 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

"With or without a conscious philosophy or explicit recognition of the fact," the author states, "designers are shaping people as well as buildings."

The book questions the way, and by whom, design is done. Who makes our environmental decisions? From systematic observations of people, the author questions the design and administration of space, and the relation they have with the users of that space. The institutional setting is the primary focus of the work, including nursing homes, prisons, schools, colleges, and universities. A particular advantage of the work is that much of the research and many examples are drawn from the college campus and this gives the work additional meaning. Although it does not necessarily provide answers, this work raises important issues for anyone involved in institutional planning and design.

3.0 FACILITY TYPES

21:3.0/74

Planning Facilities for Athletics, Physical Education and Recreation, 210 pp. (The Athletic Institute, Chicago).

Although other books deal in more detail with specific facility types, the value of this loose-leaf report lies in its comprehensiveness. Planning for physical education, athletics, and recreation is more than fields, gymnasiums, and swimming pools. This report also deals with planning for intramurals, teaching and research about physical recreation, camping, community-based recreation, and accommodation of the handicapped.

The treatment of the subjects tends to be uneven; lockers and showers are covered in great depth, while the relationship between recreation facilities and other campus elements are almost neglected. Planning for nondiscrimination by gender is not covered.

The "check list for facility planners" is useful, as are the glossary and annotated bibliography. The looseleaf format suggests that additional material may be added. Ideally, the Athletic Institute will do just that, and provide planning information in new areas of concern.

21:3.0/73

Time Saver Standards for Building Types, Joseph De Chiara
·and John Hancock Callender, 1065 pp. (McGraw-Hill Book
Co., New York).

The book has long been known to the architectural and design
professions. The work is cited here so that clients and users may also
avail themselves of this excellent guide to basic program and design
criteria. The section on college and university facilities covers: gym-
nasiums, physical education and sports facilities, fieldhouses, dor-
mitories, libraries, student ·unions, computation centers, com-
munications centers, regional education centers, large-group facilities,
programs, and programming. The specific sections are either written
by, or draw upon the work of, significant contributors to the field, in-
cluding many authors cited in this bibliography. An academic or ad-
ministrative officer planning facilities would do well to read the·
respective section of this book.

21:3.0/72

College Students Live Here, Harold C. Riker, 150 pp. (Educa-
tional Facilities Laboratories, New York). **Student Housing,**
Judy Tolmach, 72 pp. (Educational Facilities Laboratories,
New York).

Though the first volume is nearly two decades old, it is
nonetheless a classic. The basic programming, planning, and design
criteria it offers remain valid because physical facility issues have not
changed as much as governance issues. The document is comprehen-
sive, thoroughly illustrated, and a pleasure to read.

However, because of its age it is lacking in three areas: planning
for the handicapped, planning to minimize operating costs (especially
energy) and rehabilitation and modernization. The latter deficit is
covered in the suggested companion report, *Student Housing*. Pub-
lished in the early 1970s when college housing became a buyer's
market, *Student Housing* covers responses such as recycling, living-
learning arrangements, and apartments. It also provides alternative
ways of delivering college housing through turnkey, design-build, and
lease arrangements.

21:3.0/66-1

The Office, Robert Propst, 71 pp. (The Business Press, Elmhurst, Ill.). Available from: Herman Miller Research Corp.

Too often, too little attention is given to the working environment of the college administrator and faculty member—the office. This book does not fill the need completely, because it is not a planning guide for college offices *per se.* Rather, it is a report on the office as a generic place of work.

It was written by one of America's noted environmental researchers, and it therefore analyzes the work functions, human design factors, and nonenvironmental relationships that should be considered in office planning. It is not a cookbook; it will not give the reader square footages, ratios, or other quantitative data. It is a book to help the planner think about the office as human habitation, which is a good way in which to begin the planning process.

21:3.0/66-2

New Spaces for Learning: Designing College Facilities to Utilize Instructional Aids and Media..., Harold D. Hauf, Wayne F. Koppes, Alan C. Green, Morton C. Gassman and Davis S. Haviland, 137 pp. (Center for Architectural Research, Rensselaer Polytechnic Institute, Troy, N.Y.).

It is rare these days to plan a large-group (50 or more) instructional space in which films, tapes, slides, overhead transparencies, and television are used as an integral part of the instructional process. Especially important are the relationships between student/teacher and the information display surfaces—minimum and maximum distances, viewing angles and arrangement of seating. The criteria also include lighting, acoustics, furniture, display surfaces, and controls.

This book contains a series of design studies illustrating the design principles and criteria for such instructional space, together with a case study, and spatial relationships "communicators."

There have certainly been advances in instructional technology in the last decade (for instance the introduction of projected television), but these do not invalidate the principles that relate viewer, teacher, information display, and facility design.

21:3.0/65

Planning Academic and Research Library Buildings, Keyes D. Metcalf, 431 pp. (McGraw-Hill Book Co., New York).

This work deals with planning academic and research library buildings. The book is addressed to six different groups: presidents, governing boards, and administrative offices; library building planning committees; librarians and their staffs; library schools, library school students, and other librarians interested in administration; the library building planning team; and architects, engineers, and consultants.

The book is divided into two parts, "Basic Information on Library Building Planning," and "Planning Process." Chapters in Part 1 include: Library Objectives and Their Relation to Aesthetic Problems, Quality of Construction, Function, and Cost; Financial Matters; Problems Relating to Height; Traffic Problems; Accommodations for Readers and Staff; and Furniture and Equipment. Part 2 of the book integrates the information into library planning, programming, and construction documents. There is even a section on the library's dedication and opening ceremonies. The work contains program examples, formulas and tables, equipment lists, and an extensive annotated bibliography.

21:3.0/64

Theaters and Auditoriums, Harold Burris-Meyer and Edward C. Cole, 376 pp. (Van Nostrand Reinhold, New York).

This comprehensive and detailed book is the classic on this subject. It is not a book about campus theaters and auditoriums per se, but about the generic facility type.

The starting point for the book is the audience—how it sees and hears, circulates in and around the hall, and what conditions affect its comfort and safety. Then the book covers mechanical aspects such as climate control, stage craft and machinery, lighting, and support services. The final chapter contains a useful summary dealing with issues such as theater function and architectural style, growth, and built-in deterrents.

This book should be the starting place for theater and design professionals.

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21:3.0/63-1

Buildings and Facilities for the Mathematical Sciences, J. Sutherland Frame and John W. McLeod, 169 pp. (Conference Board of the Mathematical Sciences, Washington, D.C.).

This report is a product of the booming 1960s when major campus building programs were undertaken to accommodate enrollment growth, especially in the sciences.

Although emphasis is placed on the mathematical sciences, the report contains programming and planning guidance appropriate for several more general campus facilities—classrooms, seminar rooms, lecture halls, study areas, and faculty offices. It deals with size and proportions of rooms, interrelationships of facilities and furniture, and planning for projected media and lighting.

The first few pages concerning the "changing scene"—enrollment trends, job opportunities, and teacher shortage—are dated, and the few pages on "computation centers" gives inadequate coverage for today's planner. Otherwise, the report remains a useful facilities planning guide.

21:3.0/63-2

Laboratory Planning for Chemistry and Chemical Engineering, Harry F. Lewis, ed., 522 pp. (Reinhold, New York).

This is a reference book for professionals designing and specifying collegiate teaching and research laboratories. It is also a useful guide for members of a faculty committee assigned to prepare a program for laboratory requirements.

Moving from "general considerations" to "specific considerations" (plumbing, ventilation, electrical services, etc.) and on to "health and safety factors," the book provides a thorough review of functional issues. These are applied to laboratory types that range from high- and low-level radioactivity laboratories to those used for inorganic synthesis.

Especially useful is the section on recent laboratory construction, including a listing of projects completed from 1951 to 1961. If this list were updated and information added on energy utilization and accommodation of the handicapped, the current value of this already comprehensive book would be enhanced.

21:3.0/61

Modern Physics Buildings, R. Ronald Palmer and William Maxwell Rice, 324 pp. (Reinhold, New York).

This book is similar to *Laboratory Planning for Chemistry and Chemical Engineering* (2:3.0/63-2), as it covers in detail a specialized type of campus facility. It differs in one respect. In this book the context is the building, of which the laboratory is only one component.

Each chapter deals with a component of the physics building—lecture room, classroom and seminar rooms, teaching laboratories, research laboratories, shops and auxiliary rooms, offices and conference rooms, and library. Also included are floor plans and brief descriptions of 33 physics buildings, including some unrelated to campuses.

The book is especially useful for institutional planners and faculty members of planning committees.

22

Community Colleges

Arthur M. Cohen

The American community college, as a postsecondary
education structure, has developed since the turn of the century.
Beginning as junior colleges offering the first 2 years of bac-
calaureate work, community colleges have expanded in scope,
function, and mission to provide a variety of services to students
and community. Along with expansion in purpose has come
increased enrollments. The community college enterprise today
consists of approximately 4.5 million students, including 40 per-
cent of all full-time freshmen entering higher education. There
are 1,230 institutions, more than 1,000 of which are publicly
supported. Some states, acknowledging the major responsibility
that community colleges have assumed in providing the first 2
years of baccalaureate programs, have established upper-
division universities. Other states have developed parallel
systems of junior colleges: technical institutes for vocational-
technical training and 2-year branches of the state university
system. However, in most states, community colleges are com-
prehensive institutions offering occupational, degree-credit, and
community education on the same campus.

The contemporary community college must be understood
on its own terms. It is first, collegiate, because it offers

freshman and sophomore course work that is acceptable for baccalaureate credit at senior colleges and universities. It is, second, occupational, because it offers vocational certificate programs in hundreds of occupational and technological fields. And it is, third, a community education center, because it offers numerous short courses, workshops, and cultural and recreational activities that are open to the public.

This chapter of the bibliography focuses on the distinctive elements of community colleges and their characteristics, personnel, and functions. Other aspects of community college operations common to the educational enterprise in general, such °as financing, budgeting, and management, are found elsewhere in this bibliography under these specific headings.

Institutional Characteristics. Several aspects of community colleges make them unique among American postsecondary education institutions. Their roles and philosophies are necessarily distinct, focused on the distinct and varied populations they serve. The sizable numbers of community college students who cannot gain admission to 4-year universities require considerable remedial and developmental education. The college role is also designed to serve as a community—in many cases as an adult basic education—center. The community colleges' programs in occupational studies further bring these institutions in close association with the business and labor elements in their communities. The literature on the role, mission, and philosophy of community colleges is plentiful, ranging from promotional pieces to detailed critiques and analyses of specific institutional functions.

Governance and administration of community colleges depends on institutional control and size. In most states, public colleges are governed by lay boards elected from the local districts. A special aim in selecting entries in this topic area was to secure advice and recommendations of value to trustees and administrators.

Community college finances differ somewhat from those of senior colleges. Some community colleges are funded entirely by state appropriations; others are funded by a combination of state and local government sources. In nearly all cases, student tuition and fees are lower than they are at senior institutions. Bibliography entries for this subtopic consider more ap-

propriate funding patterns for the colleges and better ways of managing finances.

Personnel. Community colleges are staffed with the usual academic complement of faculty, administrators, librarians, counselors, and support personnel. The faculty differ in great measure from faculty at universities—those in community colleges generally have heavier teaching loads, conduct fewer scholarly investigations, and are less likely to hold doctorate degrees. A major part of staff development involves training in the skills needed to teaching poorly prepared students. The few extant studies dealing with community college staff are concerned with faculty role and development.

Community college students are a heterogeneous group. Sizable ethnic minorities are enrolled, and, with open admission policies, the colleges attract students who are not eligible to attend elsewhere or who have limited educational goals. However, the open admission policy also encourages the matriculation of adults returning to school for cultural and recreational purposes or to gain skills required for obtaining better jobs. A few of the numerous statewide studies of student demographics are considered in this subtopic.

Functions. Community college programs are of three basic types: academic transfer and occupational, developmental, and community based. Occupational programs range from low-level skill development to highly integrated technological studies. The most prevalent occupational programs are in business and allied health fields, with community colleges having substantial enrollment in secretarial skills training and preparation for careers in nursing, dental hygiene, and related health areas. The high-level technology programs often are quite selective, with an open admission policy not applying. The academic degree-credit transfer courses are offered in many academic specialities at the freshman level, but with far more restrictions at the sophomore level, where fewer students are enrolled. Representative bibliographic entries in curriculum planning, instructional management, and innovative program development are included in this subtopic.

Developmental or remedial studies have become a prominent function of community colleges. Numerous innovative practices, learning laboratories, and special aids are designed to

review fundamentals for underprepared students. The im ฺ฿ฺ-tance of these programs is underscored in the entries in this area.

Community education takes the form of special interest courses and events offered throughout the district. Recent emphasis on this function has led to the areas of program descriptions and rationale studies included in these entries.

TOPIC ORGANIZATION

22: Community Colleges

1.0 Institutional Characteristics

    1.1 Role, Mission, Philosophy
    1.2 Governance and Administration
    1.3 Finance

2.0 Personnel

    2.1 Staff Characteristics and Preparation
    2.2 Students

3.0 Functions

    3.1 Academic Transfer and Occupational Education
    3.2 Student Development
    3.3 Community and Continuing Education

1.0 INSTITUTIONAL CHARACTERISTICS
1.1 Role, Mission, Philosophy

22:1.1/78
The Culture of a Community College, Howard B. London, 181 pp. (Praeger Publishers, New York).

Only a few sociologists have applied tools of ethnographic research to community colleges. And where such strict methodologies have been applied, the reports have been prepared as dissertations that typically are not widely circulated. This book stems from the author's dissertation and, because it was published commercially, is more available to the public.

The work is based on theories of symbolic interaction, using participant observation as the method. The intent of participant observation is to collect data in the absence of hypotheses and let the categories emerge from the findings. In this case, the data were collected by observing students and staff in a New England community college during one academic year.

The author is concerned with social class, and many of his obser-
vations relate to that concept. He found that most students were from
socioeconomic groups lower than those that typically attend senior in-
stitutions. He also found these students to be conservative—upwardly
striving but fearful of the dissociation from family and peers that they
felt would result if they attained their goals. Thus, they resisted too
ready acquiescence with demands placed on them by instructors, and
this resistance was reflected in absenteeism, cheating, and limited ef-
fort.

Much of the report deals with the attitudes and behavior of the
faculty, who were seen as concerned with their place on the prestige
ladder in higher education. The faculty rationalized their working in a
community college as an opportunity to change students' values and
thus assist them in moving up in class. The author found little intellec-
tual content and few demands for abstraction in the occupational
courses offered by the college, but the value of intellectual activity was
stressed in the required liberal arts courses.

The author's conclusions are minimal, and he does not make
recommendations for institutional change. However, he does say that
the "cooling out" function articulated by Burton Clark in his
noteworthy study of a similar community college two decades earlier
does not work as smoothly as Clark seemed to suggest.

This type of ethnographic study is useful in generating questions
and hypotheses to be asked in other studies. But the entire document is
based on a sample of one college, and, as the author recognizes, his
findings cannot be applied to the universe of community colleges.

22:1.1/77

**Community Education, Social Equalization, and Other Whim-
seys, Arthur M. Cohen, 23 pp. (ERIC Clearinghouse for Junior
Colleges, University of California, Los Angeles).**

This paper, given originally as an address to a workshop of com-
munity college presidents, comments on the dearth of dialecticians in
community colleges. In the author's view, this lack means that
spokespersons for community colleges have no considered philosophi-
cal position on which to rebut criticisms of these institutions. The
author recounts two charges that have been leveled at community col-
leges and applies his own philosophical structure to show how these
charges might be answered.

The first portion of the paper deals with recent comments (made
by Zwerling, Astin, Jencks, and Karabel, among others) that 2-year
colleges contribute to keeping the class structure intact by keeping
people in the lower classes in their place. The author responds that

social equalization is an unrealizable dream. He maintains that those who would convert all 2-year colleges into 4-year institutions to enhance progress to the baccalaureate would merely establish a bottom stratum of former 2-year colleges within the higher education network. Those who would equalize funding might not elevate curriculum and instruction in the 2-year colleges as much as they would abolish the research universities. He concludes that the community colleges are no more able to overturn the class structure than were the lower schools; these colleges can assist individuals in moving between classes, but they cannot ensure the equal distribution of academic achievement among classes.

The second portion of the paper examines the idea of community education, which the author sees as a catchall term used to justify hobby courses, recreational events, opening the campus to community groups, short courses, and services that can be construed as only marginally educative. He deplores the colleges' ability to create communities throughout their service areas, and suggests that they would be well advised to get on with the business of education.

22:1.1/76
Second Best: The Crisis of the Community College, L. Steven Zwerling, 372 pp. (McGraw-Hill Book Co., New York).

The author of this book, a staff member at Staten Island Community College in New York, states his thesis at the outset: the community college plays an essential role in maintaining the pyramid of American social and economic structure. In his words, the community college "has become just one more barrier put between the poor and the disenfranchised and a decent and respectable stake in the social system which they seek." He is consistent; all parts of the book relate to that thesis. And he has read the literature; he refers throughout to many of the entries in his 400-title bibliography.

The first chapter discusses the hidden functions of schooling in the community colleges, which the author sees as chiefly to "assist in channeling young people to essentially the same relative positions in the social structure that their parents already occupy." He points out that proof of this function may be found in the facts "that community college students will come primarily from the lowest socioeconomic classes of college attenders, that the dropout rate among community college students will be the highest of any college population, and that these dropouts—or 2-year-college graduates for that matter—will enter lower level occupations than equivalent students who attend higher status colleges."

In a chapter on the history of 2-year colleges, the author notes particularly the introduction of occupational education curriculums as

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"more an ingenious way of providing large numbers of students with *access* to schooling without disturbing the shape of the social structure than it was an effort to democratize the society." He uses the California system to make his point about such deliberate class-based tracking.

The author extends his thesis in a chapter on the role of counseling, which he sees as "cooling out." He finds the intent here as convincing students that their failure to go through to the baccalaureate level and to higher status positions is their own fault. He traces this cooling out idea through the work of Burton Clark and earlier social theorists, and he describes the cooling out process as it has operated at his home institution.

In a chapter on the economics of community colleges, the author shows how in states where the community colleges are at the bottom tier of the postsecondary education hierarchy, students from the lowest income levels attend these institutions, which receive less money per student for their educational programs. And in a chapter on the students, he criticizes those investigators who use the results of aptitude and personality inventories to show that community college students are different from students at 4-year colleges and universities, charging that these researchers do not look into biases in individual test questions that are particularly discriminatory against community college students.

The author's prescription for change takes the form of "an acknowledged political application." He suggests pointing out to students how they are being channeled within the social class structure of America, so that they can resist such channeling. He points to the success of informal seminars at Staten Island Community College in aiding students in this regard. The author also favors major reforms in community colleges, particularly in making it more likely that their matriculants go through to the level of the baccalaureate. One way this might be done is to return to the 4-year community college that was seen in the early years of the institution's development.

In an appendix, the author offers a critical bibliography in which he classifies writers on the community colleges into several clusters: official critics (who call for "the development and expansion of the community college movement essentially along its currently charted course"); left-official critics (who also propose expanding community colleges, but "pay at least lip-service to some of the more radical criticisms of schools"); and radical critics (who assert "that in spite of their democratic and egalitarian rhetoric, 2-year colleges at their very essence support and help sustain the current social status quo").

This is a refreshing book because it takes a stance stemming from a particular view of social institutions. And unlike many critics of community colleges, this author has a good understanding of the institutions and of the literature about them.

22:1.1/73-1

The Evolution of the Community College, Robert Palinchak, 364 pp. (The Scarecrow Press, Metuchen, N.J.).

This is a comprehensive text on the comprehensive community college. The author has reviewed the literature about 2-year colleges dating back to their beginnings and covering all facets of their operations. He has done his homework well, and this is reflected in a bibliography of more than 750 citations. In reviewing an extensive literature, the author notes that, "Persons associated with the community college have a notorious record for being excessively defensive or platitudinous about its ideology." He deplores this, saying that the comprehensiveness of the institution makes it unique and deserving of a place of its own in the world of American education.

The book includes chapters on the community college concept, its students, and its faculty. There is no chapter on administration, a notable omission. In tracing the historical perspective of the community college, the author goes back into the 19th century and brings the idea up through Koos, Lange, and other early 20th century analysts. He sees the idea as grounded in the belief that all citizens should be educated, and shows that the community college was able to take its place in the United States because of the institutional diversity that characterizes higher education in this country. He traces other forms as well: the private church-related junior colleges, and the public institutions built as divisions of the state university.

The community college, in the author's view, has struggled to attain its identity as an institution standing between the high school and the university. The author refers to Conant's question addressed to the high schools: can they at once do general education for all citizens, occupational training, and preparation for advanced scholarly study? And he sees the comprehensive community college as struggling to adopt all three roles.

In reviewing curriculum forms, the author notes the difficulty of reconciling occupational and academic programs in the same institution, and he criticizes community colleges for uncritically adopting curriculum forms from other types of educational structures. He also finds that student personnel services that complement the comprehensive community college and its students have not been developed. In reviewing studies of community college students, he finds them older, of lower ability, and from lower income families than those who go to

the university. In a chapter on community college faculty, the author looks at the educational backgrounds of new faculty members and their formal teacher preparation. And finally, in examining teaching, he deplores the traditional and he finds awarding grades inappropriate.

The author provides 61 conclusions regarding community colleges and their programs, students, and faculty. He notes that traditional colleges could not resolve problems of mass higher education in a technological society and that it remains for the community colleges to demonstrate that they can. He says they must adapt to a diverse student body and notes that, "Efforts to make the college 'fit' into the current hierarchical structure are misguided and unnecessary; *its uniqueness lies in the fact that it does not fit."*

22:1.1/73-2

Project Focus: A Forecast Study of Community Colleges, Edmund J. Gleazer, Jr., 239 pp. (McGraw-Hill Book Co., New York).

Under a grant from the W.K. Kellogg Foundation, Edmund J. Gleazer, Jr., executive director of the American Association of Community and Junior Colle;... David S. Bushnell, and Francis Pray examined trends in commu;..y colleges and their implications for the functioning of the Association. They surveyed students, faculty, and administrators at nearly 100 colleges, and visited 30 institutions. This book recounts the impressions gained by the author during his visits.

Throughout the book, the author emphasizes how different community colleges are from other American educational institutions in terms of the students they serve. For these students, the author concludes, learning in the formal sense "is not the basic value forming concepts and structures of organization within the community college." The students require "a new view of education that looks first to the needs of students (rather than to tradition) in determining forms for buildings, curricula, administration, teaching, and learning."

In a chapter on community college faculty, the author reports that they are concerned people but uncertain of the directions they should take. He sees a lack of a sense of collegiality and a need for in-service training, which he says would be considerably more valuable than a structured preservice program. Building on his thesis of the community college as a different educational form, he says it needs staff members whc view educational assignments 'n a different way and are concerned about the special interests of their students.

The author recommends that institutional diversity be further maintained by breadth in curriculum. He calls for c mmunity colleges

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to emphasize vocational education and to design nontraditional occupational programs that give students more information and more time to decide what programs they want to enter.

In a chapter on organization and governance, the author finds a dilemma in many states in defining the role of the local board as differentiated from that of the state-level board. He sees a trend toward increased involvement in community colleges at the state level because of the increased financial support coming from the state. He also reports that community colleges are not sufficiently well-financed to do the difficult educational job that they must do, and he feels that students, local districts, state governments, and the Federal Government all should contribute to supporting these institutions.

The author found that most people he spoke with agreed that community colleges should provide educational opportunity to "those who have not had it before—the financially handicapped, minority groups, those who wish to prepare for early employment, those who need to be retrained, older persons wishing to use their time constructively and creatively." Yet he found frustration on the part of many staff members, who felt that the extant organizational patterns and the roles of the people within them did not fit the extensive and difficult mission that community colleges have undertaken.

Although the book is written in a readable style, it is essentially a collection of random impressions, with no attempt made to tie comments to the history of community colleges, theories of education, or a general body of knowledge about education.

22:1.1/73-3

A Social Panacea: A History of the Community-Junior College Ideology, Gregory L. Goodwin, 315 pp. (ERIC Clearinghouse for Junior Colleges, University of California, Los Angeles).

This work, prepared originally as a doctoral dissertation, presents a comprehensive review of ideas surrounding the development of community and junior colleges in America. The author analyzes the writings of the founders of the community college concept (W.R. Harper, D.S. Jordan, and A.F. Lange) and of early writers about the institutions (L.V. Koos, W.C. Eells, and D. Campbell). In tracing the ideology to the present time, he shows that although the rhetoric changed from one generation to the next, the basic mission of community colleges remained consistent—to be a place for molding people to blend harmoniously into the community and to gain the skills needed to perform their roles.

The author shows how the early writers envisioned elementary schools for the masses and universities for the professional elite, reserving for the community college the unique mission of training peo-

ple for middle management. He carries his analysis of the major writers in the community college field into the 1930's with his examination of the works of B.L. Johnson, J. Reynolds, L. Medsker, C.C. Colvert, and J. Bogue. He shows how these authors—in the belief that people should be trained to have both an occupation and a broad understanding of life and society—furthered the idea of general education and expanded that concept to include occupational training. The author goes on to report that more recent writings by spokespersons for the community colleges "show a greater concern for specialized training without the customary concern for general education," while still seeing the process of adjusting the individual to an accepted role as a useful institutional function. The author also traces the increasing emphasis on occupational education, showing that "the bulk of the federal monies aimed to support vocational education are just as clearly aimed not to support transfer-oriented programs."

The author concludes that a community college ideology does not fully explain the institution, but that it is important to consider it. He notes, for example, that although guidance and counseling as a means of redirecting students into vocational programs is part of that ideology, it does not necessarily follow that all community college staff members should engage in this activity. And although he accepts "the sincerity and good faith of community-junior college national spokesmen," this "does not ease the discomfort that comes with the realization that their stated ideals were distinctly elitist, undemocratic, and disparaging of human nature."

As a full-scale treatment of the ideas promulgated by the major spokespersons for community and junior colleges throughout their history, this book is unparalleled. The author presents bibliographic review combined with skillful interpretation.

22:1.1/72-1
The Community and Junior College, James W. Thornton, Jr., 304 pp. (John Wiley & Sons, New York).
This book is a text offered for the "tens of thousands of new teachers who will join community college faculties." The book has sections on the background, organization, curriculum, and issues pertaining to community colleges. Short chapters cover the many aspects of community college operations.
The author makes a case for public support for higher education, placing the community colleges within higher education and justifying these institutions as a natural extension of the free, public elementary and secondary school system in America. He sees personal

development and technical competence for students as dual goals of the eclectic community colleges.

The book is strong on the history of the community college, tracing transfer, occupational, and community education as they were adopted by these institutions. He lists those three functions, plus guidance and general education, as appropriate areas for the community college to address. Chapters on organization, control, support, and administrative responsibility in community colleges offer a good definition and summarization of the variety of patterns that may be seen in these institutions.

One-third of the book is devoted to a description of community college curriculum, and a chapter on occupational education includes sample program content for some fields. The author also plots an ideal program for general education, with courses in communications, American civilization, the physical world, and human behavior, but neglects the arts and humanities. He also outlines continuing education activities, pointing out the difficulty in establishing credit and financial support for these programs and in maintaining standards within them.

Because the book covers the full scope of the community college, it is sketchy on most of the topics. It was written during a time of expansion for community colleges, and issues pertaining to declining enrollments and support are not treated. Nor is there any mention of collective bargaining, of the curricular impact of students who drop in and out of the institutions, and of financial aids for students. Nonetheless, this is a satisfactory introductory text.

22:1.1/72-2

"Community Colleges and Social Stratification," Jerome Karabel, *Harvard Educational Review,* Vol. 42, No. 4, November, pp. 521-562.

Karabel sees the community college as an element in the American system of class-based tracking and educational inflation. In his words, "Apparently, the extension of educational opportunity, however much it may have contributed to other spheres such as economic productivity and the general cultural level of the society, has resulted in little or no change in the overall extent of social mobility and economic inequality."

The author notes that community college students are likely to be from lower socioeconomic classes than students at 4-year colleges or universities. However, he argues that, "The critical question is not who gains access to higher education, but rather is what happens to people once they get there." He states that community college

students tend to aspire to higher degrees but rarely attain them, and he cites Astin's studies, which show that even while controlling for other variables, the mere fact of attending a community college seems to increase the likelihood of dropping out.

The author traces the "cooling out" process in community colleges, relying heavily on a study presented by Clark in *The Open Door College*. He believes that lower class students are tracked into occupational programs as a way of deflecting their aspirations for higher degrees and higher status employment and that the local business communities support this tracking because of their desire for technical workers. Other supporters of community college occupational programs include the Federal Government, through its vocational education funds; the American Association of Junior Colleges, which "almost since its founding in 1920, has exerted its influence to encourage the growth of vocational education"; and the university, which, "Paradoxically...finds itself in a peculiar alliance with industry, foundations, government, and established higher education associations to vocationalize the community college." The author also notes that in states in which university admission is limited to students who have done well in high school, the system of support for higher education is regressive because the students from lower income families attend the institutions that receive the least financial support from the state.

The article closes with a prediction that the tracking system may well become more rigid, making community colleges even more distinct from the rest of higher education in both class composition and curriculum. They will be more terminal than transfer, more vocational than general education. The author asserts that increasing the proportion of funds going to community colleges or transforming those institutions into baccalaureate-degree-granting structures would not seriously affect the larger pattern of class-based tracking. The colleges are caught in a dilemma because, if they increase their occupational offerings, they increase the likelihood that they will track the lower class students into lower class occupatiors. Yet if they try to maintain comprehensiveness, they will increase the likelihood that their students will drop out without attaining any degree or certificate.

For an extension of Karabel's argument, see 24:1.1/77-1, *Four Critical Years,* Astin.

22:1.1/72-3

Profile of the Community College, Charles R. Monroe, 435 pp. (Jossey-Bass, San Francisco).

By his own account, the author has attempted to combine his "insights into community-college education with extensive research

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into the literature" in an effort to "satisfy both the readers interested in academic accuracy and scholarship and the readers interested in a personal case-study analysis and appraisal of community-college issues and problems." He has accomplished what he set out to do and, along the way, has prepared a most comprehensive work. The book has an extensive bibliography and thorough textual treatment of most major aspects of community colleges. In the individual chapters, the author comments on the work of others who have examined specific parts of college operations in detail.

In a chapter on the historical evolution of the community colleges, which includes statements of purpose by early and contemporary leaders, the author states that community college leaders may have promised too much. Nevertheless, he believes "that the community college remains the best educational institution now available for post high school education for the less privileged youth of the nation." He also reviews the ease-of-admissions policy, the comprehensive curriculums, and the community orientation that characterizes the contemporary 2-year colleges.

The various components of community college curriculum are described in chapters on transfer, general, and occupational education. The author also reviews the standard findings on the characteristics of community college students, citing the difficulties that community colleges face in dealing with the problems of student dropout and poorly prepared students. Likewise, he reviews standard data on the characteristics and background of faculty, and presents his insights on administrative patterns in community colleges.

Several accounts "from one who was there" are given, and the entire book has the tone of a comprehensive personal account by a practitioner who has read the books. His style is to give others' positions, comment on them, and then state his own opinions. There is little on how to conduct college operations and much on what the author thinks ought to be done based on his experience "of almost 40 years in a variety of 2-year colleges."

Many of the author's insights are quite accurate and reflect considerable knowledge of the institutions. His positions on the importance of an open-access postsecondary institution are clear, yet he is not sanguine about the ability of the community colleges to cure all the problems in educating everyone.

The book's major limitation is that it tends to wander and could be trimmed. But overall, the author has done a notable job in combining ideas from the literature with his own experiences to produce an astute analysis of the community college.

22:1.1/72-4

A Report from Project Focus: Strategies for Change, David S.
Bushnell and Ivars Zagaris, 254 pp. (American Association of
Community and Junior Colleges, Washington, D.C.).

Under a grant from the W.K. Kellogg Foundation, the American
Association of Junior Colleges studied the long-range goals of com-
munity and junior colleges in America. The information reported in
this work was gathered from questionnaires administered to students,
faculty, and presidents at 79 colleges.

This study was done during a time of rapid growth for commu-
nity colleges, so the questions focused on the directions that the
colleges were and should be taking. Comparisons among faculty, stu-
dent, and presidents' responses have been made. Students were also
asked about their satisfaction with the college, the adequacy of their
high school preparation, family income, and demographic
characteristics, and their responses have been cross-tabulated by
ethnicity, sex, and age.

Some of the more interesting findings show the differences be-
tween staff members' perceptions of colleges' present and preferred
goals. Presidents, faculty, and students all ranked "serve higher
education needs of youth from local community" as first among the
colleges' present goals. But top ranking for preferred goals were, for
the presidents, to "encourage mutual trust and respect among faculty,
students, and administrators"; for faculty, to "help students respect
own ability and limitations"; and for students, to "make financial
assistance available to any student who wants to enroll in college."
Some notable differences between the ranking of goals stated in
generalized and particularized forms were also seen.

The authors list the functions of the community college as en-
compassing university parallel studies, general education, career
education, nontraditional studies, community involvement, and
career counseling, and they say there is a growing consensus on the
part of students, faculty, and administrators regarding these roles.
However, they found "disparity between what is and what ought to
be" in faculty who favor college transfer programs, and "perhaps the
most glaring gap between goal and practice...in the area of general
education." They found also that "students derive little benefit from
the present form of counseling," that "community services and the
adult education program often operate in an ancillary fashion," and
that although community colleges are trying to serve the needs of a
diverse student population, "much remains to be done."

The authors pose certain strategies for change: diagnosing the
problem, formulating objectives, identifying constraints and needed

resources, selecting potential solutions, evaluating alternatives, and implementing the selected alternatives. They address these strategies to lifelong education, community services, career education, and compensatory education as the four goal areas most in need of improvement.

The book concludes with some notably prescient observations about community colleges of the 1970's. The authors suggest that consolidation and stability will characterize community colleges; that the values associated with work will change; that the demand for equal educational opportunities will grow; that budgetary pressures will bring a concern for accountability and efficiency; that the transfer of costs from the property tax to state taxes and increased Federal support will accelerate the trend toward centralization of policymaking; and that state officials will scrutinize budget requests more closely. They suggest more effective developmental education programs, increases in the numbers of minority group staff members, new budget procedures to accommodate strengthened lifelong learning programs, improved ways of articulating career and transfer programs, closer linkage of the community with the college, and a participatory management framework to replace bureaucratic structures.

22:1.1/71

A Constant Variable, Arthur M. Cohen, Florence B. Brawer, and John Lombardi, 238 pp. (Jossey-Bass, San Francisco).

These authors are affiliated with the ERIC Clearinghouse for Junior Colleges at UCLA, and they review the hundreds of documents about community colleges that flow into the ERIC system each year. This book is a synthesis of many of these documents, in which ideas have been taken from them and analyzed from the authors' perspective.

The idea that an institutional personality can be defined is brought out in Part I. A separate chapter considers the current state of institutional research in community colleges. Part II analyzes the literature on the people within community colleges, with chapters on faculty characteristics, faculty preparation, and students. Curriculum and instruction are treated in Part III. Teaching styles prevalent in community colleges are noted in one chapter. Another challenges traditional concepts in curriculum and concludes that the offerings in most community colleges do not qualify for the term "curriculum" because the students fail to take courses in sequence. Vocational education and black studies also are treated in separate chapters. The book concludes with a statement about the unstated functions of community colleges: custodial, allocative, and enhancing inequality. There is a useful bibliography of more than 350 items.

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22:1.1/69

Dateline '79: Heretical Concepts for the Community College,
Arthur M. Cohen, 234 pp. (Glencoe Press, Beverly Hills,
Calif.).

What place does the community college take in the fabric of
American education? The author suggests looking past the rhetoric of
community colleges and attempting to see what these institutions are
really doing. He asks, "What form would a community junior college
take if it were organized deliberately to cause learning?" and offers
the outline of a college structured for that purpose. He does not pre-
sent a prognosis for college development, but rather a set of guidelines
for college planners who would build institutions to produce those
educational outcomes that they intend.

In the first part of this volume, the hypothetical "College of
'79" is presented as an institution with several small campuses in a
medium-sized city. Built on the unifying theme of general education,
the curriculum is composed of four core courses—communications,
social science, humanities, and science—with each course offered in a
variety of instructional media. Time and space arrangements allow
students to take units of the core courses in their preferred instruc-
tional mode. The faculty in the College of '79 are fully professional-
ized. They are responsible for designing the curriculum and the
instructional forms and for conducting student followup studies. They
work year round and manage a corps of aides who assist them in the
logistics of course presentations. Each is a specialist within the field of
instruction, and all participate in advising students and in managing
the essential components of their work.

The gap between the rhetoric and the reality of contemporary
community colleges is traced in the second part. The author notes the
problems encountered by an institution that attempts to accommodate
education for all. The rarely documented effects of campuses and
grade marks are outlined, along with several myths regarding cur-
riculum. Separate chapters consider instructional archaisms, the
status of instructors, and institutional research.

The specific steps involved in converting a college into a place
approximating the model institution are outlined in the third part.
And in the fourth part, the author makes a plea for defined outcomes
or specific measurable objectives to be applied to curriculum and in-
structional forms in all colleges, offering a rationale and arguments in
favor of deliberately designed educational structures.

The book is notable because it is one of the few examples of in-
formed criticism applied to community colleges. The author suggests
deliberate institutional change "before the mainstream of instruction
in this country runs completely out from under what we quaintly call

our 'educational' institutions." A 150-item bibliography covers principles of teaching and learning and contemporary concern over higher education.

1.2 Governance and Administration

22:1.2/79

Managing in a New Era, New Directions for Community Colleges, No. 28, Robert E. Lahti, ed., 105 pp. (Jossey-Bass, San Francisco).

This volume was prepared "to stimulate the thinking of college managers and faculties in areas where creative thinking, modified administrative practices, and new strategies may be justified for the continued development of effective and responsive community colleges." Chapters on administering instruction, student services, personnel, financial planning, admissions, marketing, information services, and relationships between trustees and administrators are offered.

Judith Eaton points to the importance of academic standards as a concept guiding administrative procedures as well as faculty activities. Dorothy M. Burns refers to personnel administration designed for better utilization of human resources. Karl J. Jacobs sketches a new style of administration under collective bargaining. William J. Mann shows how planning, programming, and budgeting systems can be scaled down to fit financial planning in a single college. Ernest R. Leach notes how college services must change in response to changing conditions. Dennis L. Johnson makes a case for marketing the college. Richard L. Spencer shows how information can be used in institutional renewal. And Richard T. Ingram considers the changed role of boards of trustees as they move more in the direction of college management.

In a concluding comment, the editor recommends several specific ways in which college administrators can bring administrative practices more in line with college goals. The volume includes a bibliographic essay on planning and managing resources.

This is one in a series of sourcebooks published quarterly since 1973 by Jossey-Bass in association with the ERIC Clearinghouse for Junior Colleges. Each issue is on a single theme, with chapters contributed by the guest editor and selected authors. Several other volumes in the series relate to managerial issues: No. 2, *Managing the Financial Crisis;* No. 6, *Coordinating State Systems;* No. 10, *Reforming College Governance;* No. 11, *Adjusting to Collective Bargaining;* No. 13, *Changing Managerial Perspectives;* No. 15, *Enhancing Trustee Effectiveness;* No. 22, *Coping with Reduced Resources;* and No. 23, *Balancing State and Local Control.*

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22:1.2/77

Trusteeship: Handbook for Community College and Technical Institute Trustees, George E. Potter, 143 pp. (Association of Community College Trustees, Washington, D.C.).

This book, as the title states, is a handbook for community college trustees. It includes easily referenced chapters on the various aspects of a trustee's role and sample forms that can be used in assessing the conduct of those roles.

The author defines 11 major responsibilities of the trustees, each in a few paragraphs. Numerous examples of statements that are designed for use by boards of trustees (college mission statements, trustee performance standards, self-evaluation forms, job description, and code of ethics) and offered, as are guidelines for selecting the board chairperson and the college attorney.

The importance of collective bargaining in the contemporary community college is discussed in a chapter on the role of the board in collective bargaining, which includes a section entitled "Fifteen Tricks That Teacher Unions Play on School Boards." The book concludes with a glossary of terms and acronyms.

This work reveals the enhanced awareness of the trustee mission that has developed in recent years; throughout, the author cautions that the trustee must not think of himself as a rubber stamp for the college administration. This sense of mission is both reflected and fostered by the national Association of Community College Trustees, whose executive director wrote the introduction to the book.

22:1.2/74

Administrative Leadership in the Community College, Joseph Foresi, Jr., 106 pp. (Exposition Press, Jericho, N.Y.).

This is a guidebook for people new to community college administration. The author defines community college responsibilities as transfer, occupational, adult, and community education, as well as maintaining an open admissions policy, and he points out how the community college administrator should act within the framework of those responsibilities.

The author sketches the concept of management by objectives and notes briefly the various roles of the president, deans, vice presidents, and other administrators in a typical community college organization. Presidential selection policies practiced by governing boards are outlined, as are the characteristics of presidents selected in the California community colleges. The author refers to data from a survey of 93 California community college presidents asking about their academic background, prior experience, administrative em-

phasis, and the identified concern of their respective governing boards
at the time they were appointed.

The book concludes with a statement of duties and respon-
sibilities of the governing board, the administration, the faculty, and
citizens advisory groups.

22:1.2/73

Planning and Developing Innovative Community Colleges,
N. Dean Evans and Ross L. Neagley, 372 pp. (Prentice-Hall,
Englewood Cliffs, N.J.).

This is a comprehensive, yet easy to follow, how to-do-it plan for
use by board members, members of citizens higher education commis-
sions, college administrators, and college planners in starting a new
community college. The book includes chapters on state regulations,
conducting local needs studies, and securing local support.
Throughout, the importance of publicizing the activities of the
organizing committee is emphasized.

Guidelines for appointing and organizing the board of trustees
are spelled out, as are the traits the board should look for in its search
for a president. Sample organization charts and suggested procedures
are also presented for use by the president in organizing the college
and in recruiting and selecting staff. The authors stress the importance
of educational plans, pointing out that the president and staff are
much more likely to build the kind of college they want if they have a
philosophy of education against which they can measure new staff ap-
pointments and instructional activities.

The authors are devotees of innovation, feeling that the com-
munity college must be ever ready to change in response to changing
student and community characteristics. They offer checklists for
curriculum committees and instructional.leaders to ensure that their
activities remain directed toward educational change, as well as in-
structions for selecting reproducible media. Other chapters focus on
organizing administrative services, planning facilities, and student ac-
tiv'.ies/special services for the community. The book ends with a
chapter on gaining accreditation.

One hundred pages of appendixes offer copies of a variety of
materials drawn from existing community colleges, such as: surveys
that can be used in assessing community need for the college; student
surveys regarding college choice; organization charts; job descriptions
for deans, division chairpersons, and educational development of-
ficers; recruiting brochures for other staff members; sets of institu-
tional philosophies and goals; sample statements of board policy on
academic rank, personnel selection; and the organization of various

college offices; and a listing of innovative practices in numerous colleges around the country.

22:1.2/72

Governance for the Two-Year College, Richard C. Richardson, Jr., Clyde E. Blocker, and Louis W. Bender, 245 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

This book was prepared for community college presidents and aspiring presidents interested in the philosophies and techniques of effective administration. In the authors' view, ideal administration is that which operates within a participant model; that is, with the active involvement of all constituencies. The authors' theory of community college governance stems from the nature of human interaction. They suggest that, to function effectively, the college requires a certain amount of congruence between the needs of those who function within it and the requirements imposed on them by the role expectations of the institutional structure. Their ideal college organization is much flatter than the pyramidal structure that is typical of the bureaucratic model; to them, authority and responsibility should be shared, communication and coordination should be everyone's responsibility, and decisionmaking and institutional goals should fit within a framework of participation and consensus.

The book considers national, regional, and local influences on community colleges (such as professional associations, accreditation groups, foundations, universities, chambers of commerce, public media, and the like), and addresses particularly the questions of who should provide financial support and whether the institutions should be agents of social change or confine themselves to preparing students to fit into existing society. The authors believe that state laws should define community colleges as they relate to other segments of postsecondary education in the state, pointing out that, "In most states, community colleges have had the most to gain and the least to lose through state coordination." They see a trend toward state control, state funding, and state determination of institutional policies.

Chapters on the chief executive officer, administrative and business services, and instructional and student services spell out patterns of organization and responsibilities within each of these areas. The duties of the various deans and division heads are likewise noted. The book also includes detailed analysis of the forms of interaction and the means of establishing goals and criteria for success that a participatory governance model must consider. Criteria for faculty evaluation are given, along with the form that negotiations with faculty bargaining groups will take in a college organized on this model of governance.

At the time the book was written, two of the authors were college presidents and one was a professor of higher education at a university. All were particularly knowledgeable about community colleges, and the form of governance they describe was particularly suited to community colleges in any part of the country, operating under any type of state laws.

1.3 Finance

22:1.3/79-1

An Equity Perspective on Community College Finance, Susan C. Nelson and David W. Breneman, 39 pp. (Brookings Institution, Washington, D.C.).

Community colleges are committed to equity, and, by their own standards, attempt to provide greater educational opportunity for low-income people. In this paper, the authors acknowledge that equity is not followed in funding when net benefits—subsidies minus taxes paid—are considered. But they urge caution in interpreting the effects of differential funding.

Specific areas examined by the authors include questions of low tuition and low aid versus high tuition and high aid as they contribute to equity; whether there is equity between community colleges and senior institutions within the same state; whether the amount of aid going to community college students is equitable; and questions of interdistrict equity. In sum, they find that, "The area of finance often considered community colleges' most important contribution toward equity in higher education—low tuition—is actually the one most vulnerable on equity grounds.... Indeed, our analysis suggests that a higher tuition/higher aid strategy, the pricing policy traditionally supported by economists on efficiency grounds, is also the more equitable."

This paper will appear as a chapter in a book on financing community colleges to be published by Brookings Institution.

22:1.3/79-2

Building Voluntary Support for the Two-Year College, Council for Advancement and Support of Education, 141 pp. (CASE, Washington, D.C.).

This publication is a looseleaf casebook on attracting voluntary support for community colleges prepared by the Council for Advancement and Support of Education. The casebook is arranged in three sections: "Foundations and Fund Raising"; "Emphasizing the 'Community' in Community Colleges"; and "The Alumni Community: A Renewed Source of Support." The chapters within each section were

written by practitioners, and each section contains tips found useful by these practitioners in gaining support for community colleges.

The first section presents information on how to establish a college foundation, including a sample set of bylaws and an organization chart for fundraising activities. Obstacles to college development programs are noted and counterarguments discussed. Several chapters on the value of public relations in building voluntary support are included in the second section. Information on building a volunteer program, seeking areas of community interest, establishing a speakers bureau, and opening the college facilities to the public is presented. One chapter relates how public relations was used to gain community support for a 1977 bond issue that yielded a 72.5 percent "yes" vote in an Illinois community college district. The third section includes chapters on the activities of an alumni office, including the manner of keeping usable records. A plan for conducting a successful fundraising campaign with alumni is presented, along with sample letters and statements to be used in telephone solicitations.

The casebook successfully interweaves generalizations on the need for college fundraising, exhortations on the importance of voluntary support, and useful tips on how to perform the activity.

22:1.3/74

More Money for More Opportunity: Financial Support of Community College Systems, James L. Wattenbarger and Bob M. Cage, 109 pp. (Jossey-Bass, San Francisco).

Wattenbarger and Cage's thesis is that, "The need for state-level planning for the community college requires increased state-level financial support, yet, at the same time essential local autonomy must be preserved." In this book they trace the sources of support for community colleges, pointing out the differences in state, Federal, private, and local support, along with changes in costs to the students. Separate chapters offer information on trends in state funding, Federal funding, and program costs. The authors report a definite trend toward greater funding of community colleges at the state rather than local level. Their research indicates that, in 1968, nearly all states were supplying aid to community colleges, and 15 states had moved away from local support entirely. With regard to Federal funding, they point to various acts that have authorized a greater share of postsecondary education to be paid by the Federal Government. They note that although universal higher education does not appear to be the intent of this legislation, there is growing support for extending equality of opportunity for higher education and for increasing the variety of curricula.

The authors also recount some of the vagaries in state funding formulas. They have found that seven states report having no formula, and five report having formulas with no set amount. Of those states that do have formulas with set rates, some allocate funds at a common dollar rate for all instructional programs, whereas others allocate funds at different rates for two or more areas of instruction. In several states, the authors found elaborately detailed methods for computing aid, and they report on the procedures in 10 of these states.

The book concludes that there is little commonality in state funding of community-colleges but that several trends may be detected: increases at the state level offset by decreases at the local level; cost analysis and differentiated funding; Federal support varying as a result of the decisions made within each state; and little attention to other sources of funds such as gifts and investment income.

22:1.3/73

Managing Finances in Community Colleges, John Lombardi, 145 pp. (Jossey-Bass, San Francisco).

John Lombardi has served as instructor, dean, president, and superintendent in his long career in community colleges. In this book, he expresses concern over the future of funds for community colleges and discusses sources of revenue and ways of managing finances.

In the first section of this book, the author discusses the external and internal causes of fiscal crisis in community colleges, including voter rejection of education-related bond issues and tax increase referendums, the difficulties in controlling costs in a labor-intensive enterprise such as the community college, the need for increased functions and services occasioned by the provision of Federal funds, and increasing demands for special programs for disadvantaged and minority students and for additional health and counseling services.

In the second section, the author examines the sources of revenue coming into the institutions. He describes how colleges are financed and, in separate chapters, examines state support, property taxes, tuition and fees, Federal aid, and miscellaneous sources of income. He notes variations in support patterns in different states, and explains how the property tax income affects community colleges. In a chapter on tuition and fees, the author points out that although tuition in community colleges undoubtedly will increase, it will continue to be much lower than in the state colleges and universities because most states, in their efforts to maintain open access to higher education and to control enrollments in the more costly state colleges and universities, see community colleges as a low-cost alternative for the beginning college students.

In the third section, the author examines how community colleges have attempted to control expenditures through financial planning, the use of efficiency experts, staff training in budget management, more effective use of physical facilities, and the use of rented space.

The author concludes: "Aside from minor changes, financial support patterns for community colleges will continue as in the past. Any proposed reform, short of massive federal aid and/or tuition charges equal to the cost of instruction, will not solve the financial crisis. Although the move toward full state support continues, transferring the cost from local districts to the state will merely shift the problem, not resolve it."

The entire book is a prescient statement by a well-experienced administrator who is describing a situation unfamiliar to administrators reared in an era of expanding enrollments and budgets.

2.0 PERSONNEL
2.1 Staff Characteristics and Preparation

22:2.1/77

The Two-year College Instructor Today, Arthur M. Cohen and Florence B. Brawer, 174 pp. (Praeger Publishers, New York).

This book surveys the literature on faculty members in community colleges and reports on a survey of 1,778 community college humanities teachers nationwide. Separate chapters are devoted to faculty attitudes and values, satisfaction, concern for students, research orientation, preparation, and faculty development. The concept of "Functional Potential," a measure of ego strength, is described as it applies to the maturing professional person.

Faculty members' values were assessed using the Rokeach Terminal Values Scale, in which the respondent is asked to rank 18 values in order of importance. Self-respect, wisdom, and inner harmony came out tops; national security and salvation were at the bottom. The faculty were seen as generally satisfied with their position, and, after relating satisfaction with class hours taught, age, and numerous variables of the workplace, the authors conclude that satisfaction is a dimension of the personality, not the environment. Even the part-time faculty who are paid less and have little job security exhibited levels of satisfaction little different from the full-timers. Those instructors most concerned for their students tended to be new to the college, themselves former 2-year college students. The instructors highest in research orientation tended to look to university professors as their reference group, but were also extremely high in orientation toward their students and their teaching.

The authors criticize the practice of employing part-time faculty members as retarding the professional development of community college instructors. And they maintain that employing faculty with the doctorate seems to make little difference in their orientation toward curriculum, instruction, or their students. In chapters entitled "The Endangered Humani es," "The Future of the College," and "The Future of the Facu :," the authors deplore the tendency of the faculty to be so little concerned with the professional aspects of their work and with integrating the humanities into occupational, remedial, and community education programs—the high-growth areas in the curriculum—that both the humanities and the faculty as an autonomous body are in danger of diminishing in importance.

22:2.1/72-1

Confronting Identity: The Community College Instructor, Arthur M. Cohen and Florence B. Brawer, 257 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

This book was written to assist faculty members in better understanding themselves and their profession. It considers two major concepts: identity, defined as awareness of self, of personality, and of individuality; and maturity, defined as integrated functioning within a social context. These concepts are applied to instructors as individuals, to the faculty as a group, and to the community college as a social institution. The authors suggest that the community college must have a professional, mature, self-aware faculty if it is to succeed with its many difficult educational tasks. "As a *professional faculty*," they observe, "the group would operate autonomously, police its ranks, and set its own standards for employment. A *mature faculty* is one that is responsible for its actions and judges itself by its effects on its students' learning. As a *self-aware individual*, each instructor continually examines his own motives and modes of functioning."

The book is arranged in six parts. In Part I, the authors review the community colleges as a growing and changing entity, and they raise questions as to whether the community college is to achieve an identity that falls outside the college form or be identified as a teaching institution, an institution that attempts an infinite number of tasks, or an institution that repeatedly changes its mission. Part II considers the personalities and traits of community college instructors, and outlines a four-category classification scheme (end-of-the-roaders, ladder climbers, clock punchers, and defined-purpose routers) for these instructors. In Part III, the authors consider roles and images, and present an original three-way classification of faculty functions in which the instructor is categorized as a model, a

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mediator, and a manager. Part IV discusses faculty influence on students and the way students affect faculty orientation to and satisfaction with their work. Part V considers the process of becoming a teacher and illustrates the interaction in the institution's selecting the individual and the individual's selecting the type of institution to which he will apply. A chapter within this part treats the faculty as a professional group, noting obstacles to professionalism. Part VI examines faculty evaluation in detail, noting the differences between those evaluation practices that measure faculty performance and those that measure instructional effects.

Overall, this book is a plea for institutional, professional, and individual maturity. An essay on further readings is included, along with a bibliography of more than 280 items.

22:2.1/72-2

Teachers for Tomorrow: Staff Development in the Community-Junior Colleges, Terry O'Banion, 185 pp. (University of Arizona, Tucson).

In this book, the author examines the difficulties faced by community colleges in attracting instructors who are prepared to teach a heterogeneous student population. The author traces studies of community college faculty members, showing that the majority of them have come from teaching in secondary schools or in universities and that few have been prepared to teach in community colleges. He argues for people who are humanistic and who have an orientation to the community college and its students and the ability to teach.

In the author's view, proper training for the community college instructor should include preservice programs that provide information on the history and philosophy of the community college, an understanding and acceptance of the students who attend those colleges, and an awareness of innovations in education. These programs should be based in universities and taught by staff who are knowledgeable about the community colleges, and they should include a teaching internship in the community college. The programs should also have cooperative relationships with community colleges in the area so as to develop multiethnic program coordinators, remedial education instructors, instructional technology specialists, health occupations staff, human development specialists, and people who can work in the community. The author also recommends that inservice programs be organized in every college, and that they offer summer and year-long institutes, short-term workshops, staff retreats, continuing seminars, encounter groups, travel to professional meetings, visitations to other colleges, packaged programs, apprenticeships; and the opportunity for professional reading.

Appendixes provide information on the degrees held by community college faculty members, sources of faculty, institutions offering graduate degree programs for community college faculty, and overviews of various types of preservice and inservice programs that have been recommended in recent years.

2.2 Students

22:2.2/79-1

The Dilemma of Access: Minorities in Two Year Colleges, Michael A. Olivas, 259 pp. (Howard University Press, Washington, D.C.).

This book is a compilation and analysis of data on minorities in 2-year colleges. The author notes that 2-year colleges offer access to higher education for minority students, but that these students tend not to go on to senior institutions. This situation, the author states, raises the question of whether 2-year institutions provide opportunities for minorities or perpetuate inequities. While he supports the efforts of 2-year colleges to provide access to education for minorities, he is critical of the K-12 system and the universities for not actively attempting to assist minorities in moving through the system.

As background for his recommendations, the author offers statistical data on the numbers of minorities represented among students, faculty, and administrators in community colleges, and traces minority enrollments in 2-year colleges against degrees awarded. He concludes: "To the extent that easily-available institutions do increase access, opportunities are provided to all who would enroll. However, to the extent that full-time access for minorities occurs predominantly in the public two year college sector, it cannot be said that this system represents an equitable distribution." He is not sanguine about the possibility of change, saying that any changes would be prohibitively expensive, that "there is no comprehensive federal policy regarding higher education (and) even less federal direction concerning two year colleges," that "programs designed to help minority students or institutions enrolling minority students are increasingly looked upon with suspicion and are subject to extraordinary political disputes," and that institutional needs vary widely. Hence, in his view, no single set of policies could affect all 2-year colleges positively.

The author recommends that the Office of Education set aside funds particularly for 2-year colleges and give larger responsibilities to the Community College Unit within the Bureau of Higher and Continuing Education. He also recommends better data collection procedures regarding ethnic students and staff and state-level examination of policies that disproportionately place minority students into 2-year

colleges. At the college level, he suggests aggressive affirmative action, graduate programs that actively seek minority students, and better articulation of transfer between 2-year and 4-year institutions. He also suggests enhanced academic advising and an increased emphasis on reading, test taking, and study skills at the high school level.

The book includes appendixes showing various forms of ethnic enrollment data by state, as well as numbers of Chicano administrators and departmental chairpersons in 2-year and 4-year colleges. Other appendixes note the levels of Federal support for Indian higher education, the participation of community colleges in federally funded programs, and occupational programs offered in noncollegiate postsecondary schools. A bibliography includes more than 300 citations.

The book is very useful in providing comprehensive data on minorities in postsecondary education, and the author's analyses are well reasoned. And although the author is an avowed advocate of increased participation of minorities in postsecondary education, he tempers his advocacy with sensible conclusions and recommendations.

22:2.2/79-2

Statewide Longitudinal Study: Report on Academic Year 1978-1979, Russell Hunter and M. Stephen Sheldon, 75 pp. (ERIC Clearinghouse for Junior Colleges, University of California, Los Angeles).

This book reports on one aspect of a 3-year longitudinal study, funded by the Chancellor's Office of the California Community Colleges, of students in 15 community colleges. The purposes of the study overall are to provide information about students in California community colleges, the effects of college programs on the lives of students, the efficacy of small sampling in carrying out a useful longitudinal study, factors within certain vocational programs that inhibit limited- or non-English-speaking students, and needed curriculum and services for occupational programs for nontraditional students.

The first part of the study, reported in this book, was concentrated on gathering information about why students withdraw from courses and their concurrent work experience. Based on data collected from a final sample of some 6,000 students, the researchers found that the most frequent reasons cited by students for enrolling in college or courses but not attending classes or withdrawing before census week were job conflict, a dislike of class content, assignments that were too heavy, indefinite motivation, being underprepared for class, a preference for work over school, dislike for the instructor, and class

switching for personal convenience. It was also found that concurrent employment was the norm, with only 19 percent of the students reporting that they were not employed either full-time, part-time, or as homemakers. Data on enrollment patterns, programs selected, job status, and the goals of these students are provided.

In later phases of the study, the investigators plan to report on what students gain from attending community college even when they do not complete the programs in which they are enrolled. They will also "develop student prototypes that defy usual classification methods because they cut across the traditional descriptive criteria of age, sex, ethnicity, and major."

This study's methodology and findings should prove to be landmarks in providing usable, comprehensive information about community college students in the 1980's.

22:2.2/77

Women in Community and Junior Colleges: Report of a Study on Access to Occupational Education, Carol Eliason, 64 pp. (American Association of Community and Junior Colleges, Washington, D.C.).

The monograph presents the results of a study, funded by the Carnegie Corporation, of women students enrolled in occupationai programs in 2-year colleges. In conducting the study, members of the American Association of Women in Community and Junior Colleges visited 10 colleges and surveyed more than 1,000 students to identify patterns of female enrollment and bring exemplary programs to light.

The monograph contains data on the marital status of the students, the types of programs in which they enrolled, their employment status, and their reasons for attending the 2-year college. Further, the researchers interviewed some 400 students on anticipated sex discrimination in jobs, previous experiences in employment, concurrent experiences in occupational programs, and knowledge of careers available.

The author concludes that better recruitment of women to occupational programs other than those traditionally filled by women is needed if sex stereotyping and discrimination are to be broken down. Opening programs with apprenticeships to women is seen as particularly important, as is better counseling to inform women of programs other than the usual secretarial, licensed practical nursing, child care, and similar traditionally female occupations. The author also concludes that the adult female attending a community college part-time is sometimes precluded from enrolling in certain programs because of restrictions on any part-time student enrollment.

The monograph reports on one of the few data-based studies of women in careers and of the way in which community colleges participate in preparing women for employment. A list of exemplary community college programs to attract women into occupational areas is appended.

22:2.2/76
Through the Open Door: A Study of Enrollment and Performance in California's Community Colleges, Dorothy Knoell and others, Report No. 1, 1974, 67 pp.; Report No. 2, 1974, 92 pp.; Report No. 3, 1974, 19 pp.; Report No. 4, 1974, 21 pp.; Final Report, 1976, 82 pp. (California Postsecondary Education Commission, Sacramento).

At the request of the California Legislature, the staff of the Coordinating Council for Higher Education, in 1972, began a study of students in 32 California colleges. The study continued until 1976, when it was concluded by the staff of the California Postsecondary Education Commission. The study was to ascertain educational origins of students in California community colleges and their personal characteristics, as well as their goals and objectives, level of performance in college courses, patterns of persistence, and employment and other activities after leaving the colleges. The sources of data were enrollment figures collected routinely by the Office of the Chancellor for California Community Colleges and information supplied by the coordinator of research on the campuses involved.

The study revealed an extraordinary heterogeneity of the community college population in terms of age and previous education, yet there was considerable variance among colleges with respect to these two factors. The authors also collected and report considerable data on persistence levels and on the performance of students who continued beyond one term.

The authors conclude that community college enrollments grew rapidly during the 1970's at least in part as a result of the development of programs and services for the educationally and economically disadvantaged, the physically handicapped, women re-entering higher education, senior citizens, and workers needing training for relicensure. The early 1970's saw most growth in credit course enrollments of part-time students, so that by 1975 the part-timers comprised two-thirds of the head-count enrollment. These older, part-time students tend to enroll intermittently, and often forego credits and grades because they have no need for certification.

The study concludes with the finding that continuing education for part-time adult students has become the dominant function in

California community colleges but that the traditional occupation, transfer, and general education functions have not been neglected. The authors suggest that college policies of awarding grades and credits be modified to accommodate the phenomenon of the part-time drop-in-and-out student. Guidelines for the content of permanent student records should be prepared, and grading, probation, and dismissal policies should be reexamined. Efforts should be made to devise contract systems in which students and their advisors might make provision for individualized objectives and educational plans to achieve them. Better data about students should be aggregated so that the real contribution of the community college can be ascertained.

22:2.2/70-1

Against the Odds: The High-Risk Student in the Community College, William Moore, Jr., 244 pp. (Jossey-Bass, San Francisco).

This book is a highly critical examination of the education provided to marginal students by community colleges. The author maintains that these students are shunted to remedial programs, taught by poor teachers, receive "miserable counseling," and are offered a curriculum that "was developed in another time, in another place, for other reasons, and for a different mind style." The author further believes that too few community college staff members are dedicated to helping low achievers, but that those who are so dedicated respect the students as individuals.

In one chapter, the author looks at the dilemma of community colleges, which profess to have an open admissions policy yet disregard "high-risk, marginal, educationally disadvantaged, academically unsuccessful students." In other chapters, he profiles the disadvantaged student; criticizes instructors, counselors, and administrators for their lack of understanding of high-risk students; and criticizes the community college concentration on "the Three R's" as inappropriate remedial curriculum for high-risk students.

The author recommends that prospective instructors study the philosophy of the 2-year college and understand the nature of disadvantaged students, that counselors learn to communicate with these students, and that administrators take care to ensure that sensitive staff members are recruited for remedial programs. With regard to the latter, the author cites the General Curriculum, an experimental curriculum designed for marginal students, at Forest Park Community College in St. Louis. This curriculum combines the Three R's with sociology, science, humanities, and guidance, and includes a Programmed Materials Learning Laboratory. The author sees this program as successfully combining the essential elements of community

college curriculum, instruction, and counseling to enhance the success
of high-risk students.

22:2.2/70-2

The Community College Student, Leonard V. Koos, 580 pp.
(University of Florida Press, Gainesville).

Leonard V. Koos, patriarch of the community colleges, in 1925
authored the first major work on these institutions. He survived well
into his 10th decade, teaching and writing about community colleges.
This three-part compendium synthesizes hundreds of studies, dating
from the 1920's on, of university and junior college students and of
adolescents in general.

Separate chapters in Part I provide data on later adolescents:
their physical, mental, personal, and social development; their sexual
and dating behavior; and their occupational and recreational interests.
Part II focuses on studies of college students: their aptitude, social
status, and academic competence; personal characteristics, attitudes,
and interests; personal problems; and the concerns of adult students.
Part III offers implications for the curriculum and for the student per-
sonnel programs in community colleges.

Although the data recounted in studies done decades ago are of
minimal use in themselves, the author provides summaries at the end
of each chapter and strives particularly to show how community col-
leges can enhance personal development for their students. He pro-
poses an increased emphasis on a student organization and activities
that "appear to have an impressive potential for the education of the
later adolescent."

22:2.2/69

The Two-year College and Its Students: An Empirical Report,
American College Testing Program, 157 pp. (ACT, Iowa City,
Ia.).

This monograph reports on various research projects conducted
by the American College Testing (ACT) Program at 2-year colleges.

Part I of the monograph provides information on the institu-
tional characteristics of 2-year colleges in terms of six variables:
cultural affluence, technological specialization, age, size, transfer em-
phasis, and business orientation. Comparing these factors with similar
characteristics of 4-year colleges, the authors found that character-
istics related to institutional size seemed to recur consistently in both
types of colleges. Further, regional differences were found in all six
factors.

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Part II describes students at 2-year colleges and compares them with students in 4-year institutions. Those in the 2-year institutions were found to be less able in terms of academic potential and to have fewer nonacademic high school accomplishments. Vocational/ technical education tended to attract students with low aptitude and high family socioeconomic status or with high aptitude and low SES.

In Part III, entitled "Predicting Student Academic Success in Two-year Colleges," the authors report that 2-year college students were less academically able than 4-year students, but that there was considerable overlap between the two populations and a greater spread in achievement at the 2-year college level. The authors conclude that specific course grades in English, mathematics, social studies, and natural sciences can be predicted by ACT data about as well as these data predict specific course grades at 4-year colleges. Since standard predictors of college grades—test scores and high school grades—predict academic success in both 2-year colleges and 4-year colleges, as well as in technical curricula, there do not seem to be any aptitude dimensions peculiar to either 2-year or 4-year colleges.

Part I of the report monograph was written by J.M. Richards, Jr., L.M. Rand, and L.P. Rand. Part II was written by L.L. Baird, J.M. Richards, Jr., L.R. Shevel, L.A. Braskamp, and R.H. Fenske. Part III was written by D.P. Hoyt and L.A. Munday.

Appendixes show the institutional factor scores for 581 2-year colleges.

3.0 FUNCTIONS

3.1 Academic Transfer and Occupational Education

22:3.1/78

The Case for General Education in Community Colleges, Arthur M. Cohen, 41 pp. (ERIC Clearinghouse for Junior Colleges, University of California, Los Angeles).

In this report, general education as a curriculum form is traced back to the survey courses first offered at Columbia University in 1919 and subsequently adopted in numerous universities and 2-year colleges around the country. The author notes the failure of prior interdisciplinary courses, particularly those attempted in the sciences, and presents the reasons for their failure. According to the author, the definition of general education has never been sufficiently well-articulated that curriculum could be maintained within it. Further, he believes that the early application of general education as a refuge for students who were uncertain of their majors or academically unprepared for college work, as well as the focus of general education on

goals that could not be assessed, has contributed to the unstable history of this curriculum form.

The author makes a plea for general education as an integrated sequence of courses designed to assist students in taking their place as productive, informed citizens. He presents a model general education program having its own faculty and organized into four divisions: culture, communications, institutions, and environment. He sees this faculty building interdisciplinary courses that would be required for all associate degree candidates, course sections or modules to be placed in the occupational programs, and specialized courses for the adult education segment of the college.

22:3.1/77

The Peoples' Community College: "A Cluster Model," Charles C. Collins, 123 pp. (Community College Press, Pittsburg, Calif.).

Although community colleges were organized for a form of education different from that in most universities and secondary schools, they were built on patterns set down by the older educational forms. This book reports on a model developed by the author for building a community college dedicated to general education.

The author presents three reasons why new models for community college development are needed: (1) institutional size, which negated community college claims that small classes and personal contact with instructors are the norm; (2) the bureaucracy resulting from the move to multi-campus districts, which burdens the staff with tasks that take them away from their instructional responsibilities; and (3) the interconnectedness of knowledge, which points away from a departmental structure arranged according to academic disciplines.

The author states that the nature of human beings, the human condition, and the context of education argue in favor of a college organized in clusters, and he offers several alternatives for arranging the clusters. One alternative involves segmenting the clusters around ideas of the physical world, the life process, economic and social institutions, human relations, and man the creator. In a college so organized, the careers that stem from each of these themes would be fit within each cluster; for example, engineering and computer sciences would be in the physical world, health sciences and agriculture in the life process, and public administration and business careers in economic and social institutions.

The author's model is fleshed out with governmental and administrative patterns. Each cluster would have its own faculty and student representatives and its own professional development facilitator.

The college staff would include coordinators of instructional media, student services, and institutional research, along with a professional public administrator as an assistant to the president. The district organization is described, and costs are plotted.

The model reported on was developed by the author in response to a request from the San Jose Junior College District for ideas on which a new community campus could be built. The rationale is sound, and the concepts are applicable in any single- or multi-campus community college district.

22:3.1/73

Cooperative Education in Community Colleges, Barry Heermann, 219 pp. (Jossey-Bass, San Francisco).

This book presents a rationale for cooperative education as "strategic to the fulfillment of the community thrust of community college." The author maintains that cooperative education should be integrated in all community college programs, not merely in vocational education. He presents model programs that include several program clusters—one each for students who have defined career objectives; who have semiprofessional, technological, or mid-management goals but no particular occupational area in mind; who are preparing for further professional training; who are full-time employees who want career upgrading; who are interested in humanities, science, or social sciences and further university work; who are undecided on career or educational goals; or who need basic mathematics and communications skills. Each program cluster is presented with defined outcomes. The author also describes how cooperative education programs help college/community interchange and promote student retention.

The author states that, organizationally, cooperative education can be placed under student services, academic affairs, the academic divisions, or by itself under the president. He discusses the roles of the coordinator, instructors, and the employers, showing how all interact to the benefit of each. And he presents alternative calendars for scheduling work-experience education.

The author also traces modes of defining outcomes for cooperative education, showing how students, coordinators, and employers should work together in considering the objectives, reviewing the students' program of study, and following up with the evaluation of the program in general and the work situation in particular as it relates to the students' program of studies. Work-experience programs at the Borough of Manhattan and La Guardia Community Colleges in New York, Miami-Dade and Broward Community Col-

leges in Florida, the College of the Mainland in Texas, numerous colleges in California, and Sinclair Community College in Ohio (the author's home institution) are outlined.

An outstanding feature of the book is a cooperative education "report and record system" that includes sample student and community survey forms, student information forms, letters to potential employers, weekly visitation reports and expense account records for the coordinators, and student followup questionnaires.

22:3.1/72

A Systems Approach to Community College Education, David Barbee, 184 pp. (Auerbach Publishers, Princeton, N.J.).

The systems approach includes a clear description of goals, objectives, and constraints, the establishment of measures of effectiveness and costs, the synthesis of various ways of achieving the objectives, cost versus effectiveness analysis, and a continuing process of evaluation after the system has been implemented. This book shows how the systems approach can integrate instruction, curriculum, and student guidance in community colleges.

The author refers to theories of instruction stemming from such behaviorists as Skinner, Watson, Pavlov, and Thorndike. He points out also how the cybernetic view of behavior will lead to a systems approach in instruction. He traces these ideas into curriculum development and notes the major elements in it: Given enough time, most students can master what is taught; the task of the instructor is to alter time and conditions so that mastery can be obtained; frequent feedback to the learners is essential; the subjects should be broken into small units of learning; specific objectives are a key element in defining the learning to be mastered.

Instructional systems models are described, and many variations are noted, all of which relate to the specific ideas of objectives, media, practice, feedback, evaluation, and revision. The author furnishes an example of the instructional systems model used at Colorado Mountain College and criticizes the attempt to build the model in Oakland Community College, saying that Oakland became fixed on a single instructional method (the audio-tutorial approach) and was not a true instructional system integrating all elements of instruction, guidance, curriculum, and administration in the college.

Guidelines for employing a systems approach are presented, along with a useful glossary and model flow charts for systems as applied to community college management, instruction, guidance, and curriculum.

22:3.1/69-1

The Comprehensive Junior College Curriculum, James W. Reynolds, 227 pp. (McCutchan Publishing Corp., Berkeley, Calif.).

This book is focused on the community college curriculum, which the author defines as "a sequential arrangement of courses, the completion of which prepares an individual for the attainment of an occupational or academic goal." The author outlines the scope of the communi;y college curriculum based on information gained in working with staff in 60 junior colleges and with students in his Junior College Curriculum course at the University of Texas, and from responses to a survey of administrators and chairpersons at 70 junior colleges. His purpose is to describe the scope of the curriculum so that those new to community colleges will understand how their courses fit within it.

In a chapter on major divisions of the curriculum, the author shows how courses can be aggregated intc general education, preparation for transfer, and occupational education, and he offers examples of model programs in each division. He further divides the curriculum into basic fields—English, fine arts, foreign languages, humanities, mathematics, natural sciences, and social sciences—and recounts problems peculiar to teaching in each field. In a chapter on community services, the author relates how some of the basic and applied fields naturally fit in with community education, and makes a case for tying these curricular areas to a college's community services program—both formally, through courses, and informally, through activities that faculty and students might perform on behalf of the community. Other student activities, including student government, publications, athletics, clubs, and the performing arts, are treated in a separate chapter.

The author states that curriculum should be founded on objectives set on three levels—the institutional, the divisional or departmental, and the individual course—and he discusses roles of the dean of instruction and the curriculum committee as they influence curriculum development. He also discusses such external influences on curriculum as communitywide and statewide concepts of what the junior college should be and the opinions of accrediting agencies and professional associations concerning specific aspects of the curriculum. A separate chapter considers the place of the library in assisting in instruction and in broadening the education that students receive.

The book concludes with an examination of 17 theoretical curriculum issues, including the place of the junior college in the hierarchy of formal schooling, the extent to which the junior college curriculum should attempt to satisfy all educational problems, and the

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place of the department chairperson in curriculum matters. For most
of these issues, the author goes no further than to state positions on
both sides and to note that the student of the curriculum should be
aware of the arguments.

The book is a useful introduction to curriculum in community
colleges, and, as such, it has a place in preservice preparation pro-
grams. However, data on colleges, faculty, and students are outdated,
the bibliography is in the form of footnotes at the conclusion of each
chapter, and the index is inadequate.

22:3.1/69-2

**Islands of Innovation Expanding: Changes in the Community
College**, B. Lamar Johnson, 352 pp. (Glencoe Press, Beverly
Hills, Calif.)

Lamar Johnson is a proponent of instructional innovation. He
sees the need for change in education as important to maintaining the
central position of schools in preparing people for a changing world.
This book, which describes various innovations in instruction and the
conditions that encourage or interfere with innovation in 2-year col-
leges, is based on the author's visits to 77 community and junior col-
leges, his meetings with staff members from an additional 82 institu-
tions, and correspondence with people in 100 other institutions.

The major portion of the book is composed of reports of various
instructional innovations in colleges throughout the country, in-
cluding cooperative work-study education, programmed instruction,
and audio-tutorial teaching. The author surveys teaching by televi-
sion, and discusses such other technological aids to learning as audio-
recorders, dial-access audio systems, tele-lectures, multistudent
response systems, motion pictures, and computer-assisted instruction.
Nonmachine-related instructional innovations such as simulation and
games are also described, as are efforts to teach low-achieving stu-
dents through peer tutoring and various forms of guided studies. The
author also describes the mode of preparing for large group instruc-
tion and the use of instructional resource centers and laboratories.

The author states that the president of a college sets the tone for
innovation at that institution, and he thus recommends that presidents
be made aware of innovations at other institutions. He likewise sees
the need for change agents—persons in the college administration who
are responsible for stimulating innovation throughout the institution.
Other stimulants to innovation cited by the author include special
budgets and grants, special facilities, faculty inservice preparation,
and cooperative work by groups of institutions. Sharply increasing
enrollments that keep people too busy to try new methods and timidity

on the part of administrators and instructors alike are seen as obstacles to innovation.

In the concluding chapter, the author deplores the tendency of colleges to fail to evaluate the innovations they adopt, but he sees a bright future for cooperative work-study education, programmed instruction, instruction for low-achieving students, simulation and games, the use of community facilities, and honors programs and independent study.

3.2 Student Development

22:3.2/74

Career Counseling in the Community College, Charles Healy, 140 pp. (Charles C. Thomas Publisher, Springfield, Ill.).

This book presents counseling procedures developed by the author from information gained in a survey of 200 community college counseling centers and in working with UCLA graduate students in counseling in community college situations.

The book describes a number of counseling procedures that can aid in career choice. These include: Williamson's trait factor procedure; Ryan's reinforcement method; a procedure in which clients are assisted in developing choices by analyzing appraisal data about themselves and fellow clients in the context of case studies; the Effective Problem Solving procedure, which provides clients with an intensive experience in systematically choosing an academic major and occupation; the System of Interaction, Guidance, and Information, which assists students in determining which occupations are compatible with their values; and his own procedure (the Healy Procedure), in which the client learns career planning and problem-solving skills and applies those skills to his or her own career plans.

In a useful chapter, the author presents six counseling procedures designed to help clients in overcoming vocational problems arising from deficits in development, and illustrates the differences between the procedures and situations in which each might be used.

The book concludes with an overview of 13 replicable career counseling procedures. Although the author does not discuss training for the 13 procedures, he does describe and justify them and ties them to psychological theory. Appendixes offer career counseling plans, student profiles, and excerpts from group counseling sessions in community colleges.

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22:3.2/73

Catching Up: Remedial Education, John E. Roueche and R. Wade Kirk, 106 pp. (Jossey-Bass, San Francisco).

This book describes successful remedial education programs in five community colleges. These programs take various forms. Some are characterized by a separate divisional structure staffed by instructors who have volunteered to teach basic academic skills to "high-risk students." One program offers specially developed sequential courses based on specific objectives, diagnostic tests, and individualized instruction.

The authors present information showing that students enrolled in these remedial programs "made significantly higher grades than did comparable students in nonremedial programs." They also found that these students persisted longer in college and expressed greater satisfaction with counseling, instruction, and the total program than did students in nonremedial programs. They ascribe this success to the commitment of the instructors who had volunteered to work with high-risk students. And although they found no single instructional method common to all the programs, audio-tutorial instruction, tutoring, and the use of measurable objectives all are seen as effective strategies.

The authors argue for separate program structures or entire community colleges "built around the assumptions that have produced such successful developmental studies programs." Their prescription for successful programs includes total institutional commitment, volunteer instructors, separately organized developmental studies divisions, relevant and comprehensive curriculums, graduation credit for developmental courses, nonpunitive grading practices, individualized instruction, valuable counseling, efforts to mitigate the transition from developmental studies to traditional curriculums, and recruitment that identifies and enrolls nontraditional students in remedial programs.

22:3.2/72-1

A Modest Proposal: Students Can Learn, John E. Roueche and John C. Pitman, 142 pp. (Jossey-Bass, San Francisco).

The thesis of this book is that community colleges should and could be better organized for teaching and student learning. The authors suggest that the background, training, and work orientation of community college faculty are such that faculty do not focus sufficiently on instructional techniques that will enhance student attainment of academic goals. They see the intent of instructional programs as sorting students on the basis of grades, rather than as ensuring that everyone learn.

The authors suggest that teaching strategies might be made more appropriate if instructors: "Identify the behavior to be encouraged...obtain suggestions from the student about ways to change his behavior...identify reenforcers...shape the new behavior." They cite several works that discuss setting learning objectives, tracing this approach back to the work of Bloom and Carroll. They also suggest that faculty attitudes and behaviors might be changed through the addition of an Educational Development Officer employed specifically to promote instructional change. The type of change that this person would promote is illustrated in the form of sample objectives and criterion test questions.

The book concludes with appendixes showing how policies on accountability and faculty employment contracts can be written to reflect an institutional commitment to instruction.

22:3.2/72-2

Student Development Programs in the Community Junior College, Terry O'Banion and Alice Thurston, eds., 235 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

This book is a compilation of 19 papers authored principally by persons who have been affiliated with community colleges as presidents, as deans of student personnel services, or as university-based professors with special interest in community colleges. The chapters are organized in three sections that cover the role of student development programs, problems in organizing student development services, and the future of student development in the community colleges.

In the first section, "Making Programs Relevant for Students," student development activities are seen as crucial in an institution that attracts students from a wide range of socioeconomic and academic backgrounds. Leland Medsker makes a plea for a favorable climate of opinion for the student personnel program on the part of staff members and students. K. Patricia Cross reviews studies showing that community college students do not seek traditional higher education nor do they fit the academic mold in their concepts of self. Johnnie Clarke urges that students from ethnic minority groups be given particular attention because their prior educational experience typically has been based on the "expectations and values of the majority middle class." Richard C. Richardson, Jr., offers a flow chart for policy formulation showing how student committees and a student senate can feed information to those faculty and administrators who make decisions concerning the college. J.W. McDaniel and Robert A. Lombardi suggest how student personnel services might be organized within a

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college and offer a flow chart for student counseling services that begin in the 10th grade and continue through attendance at a community college. And Joseph W. Fordyce offers a plan for evaluating student services by employing indexes of success that fit the specific aims of the various aspects of the program. The first section closes with a caution by E.G. Williamson that counseling by untrained persons is not sufficient and that the commuter students should not be ignored.

The second section, "Making Programs Relevant for the College and the Community," focuses on program development and on internal and external influences on program development. Ernest H. Berg proposes an organization for student personnel that would make this function equivalent to the instructional divisions. In his scheme, counselors would be actively involved in the construction of the class schedule and would advise other college staff on new courses to be offered. James L. Wattenbarger shows how program articulation between community colleges and secondary schools and universities is an area of responsibility for student personnel workers.

The third section, "The Decade of the 70s," offers a prognosis for the future of student development programs in community colleges. Jane E. Matson recommends that student personnel work be redefined according to the special purposes of the 2-year colleges and that student personnel workers be specially trained in evaluating the effects of their efforts. Exemplary practices are reviewed by Terry O'Banion, who describes decentralized counseling services, academic advising, and individual and group counseling with reference to programs operating at various institutions. O'Banion, Alice Thurston, and James Gulden offer a model for student personnel work that would have student development as a behavioral outcome and would include a human development facilitator working to effect positive changes in student behavior. The book concludes with a chapter by Thurston that describes the various problems that student personnel workers in the community colleges must consider, such as tight budgets, new instructional technologies, educating the disadvantaged, maintaining student involvement in campus governance, and satisfying the needs of the older students.

3.3 Community and Continuing Education

22:3.3/80

The Community College: Values, Vision, and Vitality, Edmund J. Gleazer, Jr., 190 pp. (American Association of Community and Junior Colleges, Washington, D.C.).

Edmund Gleazer, as president of the American Association of Community and Junior Colleges, visits numerous institutions and talks with staff members, trustees, students, and state officials and legislators concerned with community colleges. These conversations form the basis for the impressions, anecdotes, and commentary he offers in this book.

In a chapter on what the community college is, the author states that its purpose should be: *"To encourage and facilitate lifelong learning, with community as process and product."* He considers changes in community colleges in recent years—such as a changing student population, the need to provide services that do not fit the categories of transfer and occupational programs, and increased interest by legislators owing to greatly increased college budgets—and weighs these changes as they contribute to or inhibit the development of an institution dedicated to serving all people within its community. He extends the thesis of the college as an agency of community development in a chapter showing how community colleges can assist their districts in improving government, building better citizen boards, providing technical assistance, performing public services, and dealing with community problems of individual aging and immigrant assimilation. He urges that the community college cooperate with other agencies, and provides examples of such cooperation in Illinois, New York, and Florida.

In a chapter on state-level funding, the author points out that legislators view some community college services as "soft." He notes also that competition for state funds is keen because legislators tend to believe that education is for the young; that the number of people participating in education is declining; and that education is for occupational, college degree, or remedial purposes. The author suggests that each of these perceptions can be rebutted by arguing that education is a lifelong process.

The book closes with two chapters on college control and leadership. The author questions whether local flexibility can be maintained in the face of a trend toward state-level financing, and he observes: "It is highly desirable for community colleges to have local funds available as well as financial support from the state. Flexibility and quick responsiveness are facilitated by local determinations." He is critical of the length of time it takes to respond to identified commu-

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nity needs, saying that, "initiatives and creativities are discouraged
under the mounting weight of regulations." And he makes a case for
faculty with responsibility beyond classroom teaching: "Persons with
appropriate training will be required for such parts of the teaching/
learning process as conveyance of information, evaluation, develop-
ment of course materials, open laboratory and shop staffing, counsel-
ing, assessment, and interpretation of community educational needs,
clinical supervision, and the development of learning contracts and
other means toward learning." Characteristics of lifelong education
and adult life-cycle tasks are sketched in appendixes.

    The book is a compendium of astute impressions by the head of
the major institutional association in the field. Gleazer's advocacy of
the community college's role as the broadest possible learning center
for the community is reflected in his observations and serves as a basic
tenant of his philosophy as spokesperson for the community college
sector.

22:3.3/76

College Leadership for Community Renewal, James F. Gollatts-
check, Ervin L. Harlacher, Eleanor Roberts, and Benjamin
Wygal, 160 pp. (Jossey-Bass, San Francisco).

    In the view of the authors, the most important events in the
history of higher education have been the Morrill Act (establishing
land grant colleges), the G.I. Bill, and the development of the com-
prehensive community colleges. These three events broke the classical
concept of college, made college possible for large numbers of
students by reducing financial and geographic barriers, and broad-
ened the range of college programs. To them, this suggests a fourth
step: the creation of the "community renewal college" committed to
improving all aspects of community life. This book does not offer a
step-by-step approach for creating such a college, but does present a
rationale for this institutional form and provides case examples of
community renewal activities at seven colleges.

    The authors state that community problems are too great and
diverse to be approached from the perspective of a campus-based,
faculty-oriented college. They believe that although traditional col-
leges have tried to take themselves into the community through exten-
sion services, they have not gone far enough in offering the kinds of
education community members want at locations where the learners
are. In their words, "A college for community renewal must no longer
be just an agency to provide services to the community; it must be a
vital participant in the total renewal process of the community...dedi-
cated to the continual growth and development of its citizens and its
social institutions." The authors cite Metropolitan State University in

the Minneapolis/St. Paul area (which encourages self-directed learning) and Florida Junior College at Jacksonville (which conducted a community needs assessment as a basis for new program development) as two examples of community renewal colleges.

The authors also see cooperation with various social, governmental, professional, educational, and neighborhood agencies as another pattern for the community renewal college to adopt, and they present examples to institutions that have brought courses and services off campus to make them geographically and financially accessible. Illustrations of competency-based learning patterns that have been created at several colleges are presented, along with information on establishing such patterns within existing institutions.

In a separate chapter, the authors present suggestions for ensuring institutional self-renewal and illustrate barriers to this concept. The book concludes with a synthesis of arguments in favor of the community renewal college and the identification of steps to be taken in establishing such an institution.

22:3.3/69

The Community Dimension of the Community College, Ervin L. Harlacher, 140 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

The author dedicates this book to his belief that "the next great thrust of community college development will be in the direction of community services." He defines community services as "educational, cultural, and recreational services which an educational institution may provide for its community in addition to its regularly scheduled day and evening classes."

The author traces the growth of community services programs within the community colleges and identifies four objectives for such programs: providing a center of community life; providing educational services for all age groups; assisting the community in solving its problems; and contributing to the cultural, intellectual, and social life of the district. He offers examples of the community use of facilities and services on the campus and of the types of courses and programs that can be presented.

The author predicts a growth in community services, but also points to several problems: internal and external communication; trustee, administrative, and faculty support; coordinating with other agencies; identifying community needs; planning and evaluating the programs; reaching agreement on the meaning and scope of community services; administering the program; and finding funds to pay for it. He sees the greatest growth coming in off-campus sites, and sees community extension centers being developed throughout the district.

He also sees training for industry as an important area of growth and an expansion of services in cultural and recreational programs.

The book treats community services as unique to the community college and tends to ignore the fact that university extension divisions have been engaging in these types of activities for decades.

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Computing Services

Charles Mosmann

The ubiquitous computer has had a dramatic impact on the design, management, and content of higher education over the past two decades. The growth in our reliance on these machines has been both swift and continuous with no indication of any pending diminution. Because of its unique impact on so many aspects of campus operations, provision of computer services has become a many-faceted task. Computer uses range from maintaining financial and student records to redefining and restructuring library functions; from providing tools and methodology for research to assisting students through computer-aided instruction.

The continuing growth in demand for computer support has resulted in accompanying problems of financing—particularly with current steady-state or declining budgets. Determining the appropriate level of computer financing, establishing sources and means of funding, and assuring efficient operation of the computer center are all part of the planning and management process of the academic administration. Planning the provision of high-quality computing service is an especially important administrative function because of the breadth of functions

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supported—instruction (for the computer has become both a vehicle and a topic of instruction), research (in the sciences and beyond), and administration (in accounting and recordkeeping of course, but for purposes of management planning and decisionmaking as well).

A later chapter (Topic 25, Educational Communication and Technology) deals with some topics that appear to overlap those covered here. However, the perspective is different. In Chapter 25, the focus is the *improvement of instructional management, planning, and delivery* through the use of various innovative means, including the computer. Here the focus is on a *specific technology*, already much in evidence in education, and the *managerial issues in evaluating and assuring its effective application.*

Chapters 10 (Management Quantitative Approaches) and 31 (Institutional Planning, Studies, and Analyses) treat topics relating to the use of computers in *academic administration.* The documents selected for the present chapter deal with computing services more broadly, beyond the special issues of management and institutional research.

The bibliographic entries have been organized under five headings, although there is some overlap in coverage and many of the references deal with more than a single topic. The first section includes studies aimed at clarifying the role and extent of computer use in higher education. The second section presents managerial aspects of academic computing. The selections have been made with an eye to the interests and needs of the general administrator and not the computer technician. The final sections explore the problems and issues associated with the three user communities customarily distinguished: instruction, research, and administration.

The Role and Scope of Computing in Higher Education. Several major studies in recent years have had the objective of defining the appropriate role of computing in colleges and universities. These reports help clarify the relationship between the relatively new computer and the older, more traditional goals of colleges and universities as well as current challenges. The literature includes reports of studies sponsored by the Federal Government and the Carnegie Commission dealing with the broad issues of the impact of computers on education. Readers will also find useful some of the more recent periodic

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surveys that reveal the current status and future prospects of academic computing. More general reviews of technological innovations in instructional methodology are included in Chapter 25.

Organizing and Managing the Computer Function. Academic administrators with limited knowledge of computers may find the operation and management of computing resources novel and complex. This section provides references directed primarily at assisting administrators or campus committee members with responsibilities for computing in understanding and dealing with the key management issues involved. In addition to the usual topics of organization, policy, and staffing, two other less-known areas are presented: the allocation of computing resources (frequently coupled with financial issues), and cooperative or other forms of off-campus service via networks.

Use of Computers in Instruction. The primary function of computers in educational institutions is instructional, as a *means* of instruction and as a *subject* of instruction in many discipline areas. Documents have been selected here to assist the reader in understanding the nature, extent, and importance of both instructional roles. The specialized literature that includes detailed descriptions and evaluations of specific approaches and projects (as well as technical materials on the development or acquisition of computer-based materials) is not included but can easily be located through the bibliographic references in the documents cited.

Use of Computers in Research. At the large university in particular, providing computational resources for research is a major issue. A few general references are suggested that outline the scope of this field; however, the bulk of the literature is related to specific disciplines and should be sought elsewhere by those with a need for more detailed and technical information.

Administrative and Library Data Processing. The operation of the college or university, like that of any business enterprise, has become increasingly reliant on computing. Providing up-to-date resources for efficient management is thus important. For the library, special applications have developed to match specialized needs. The sharing of computer support between administrative and academic users has been a challenging

and continuing problem on many campuses. Again, references here have been selected to suit the needs of a broad audience rather than those of the systems analyst or data-processing specialist.

TOPIC ORGANIZATION

23: Computing Services

> **1.0** Role and Scope of Computing
>
> **2.0** Organizing and Managing the Computer Function
>
> > **2.1** Management Issues
> >
> > **2.2** Allocation and Pricing
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1.0 ROLE AND SCOPE OF COMPUTING

23:1.0/80

The Fourth Inventory of Computing in Higher Education: An Interpretive Report, John W. Hamblen and Carolyn P. Landis, eds., 349 pp. (Educom, Princeton, N.J.).

The 1976-77 survey of computers in higher education (see 23:1.0/79) produced more information than most readers will want to comprehend; this volume serves as a convenient analysis of the implications. The authors of the 13 chapters have examined the survey data in broad contexts, frequently including historical perspectives and reviews of other literature.

The first essays in the collection deal with the development of computing in the context of recent trends in higher education, as well as with new developments in computer technology and organizational issues. Other studies deal with administrative computing, instructional and research applications, computing in minority institutions, networks, and financial issues in computing. A final set of essays reports on computer-science-related degree programs.

23:1.0/79

Fourth Inventory of Computing in U.S. Higher Education 1976-1977, John W. Hamblen and Thomas B. Baird, 385 pp. (Educom, Princeton, N.J.).

John Hamblen has conducted four periodic surveys of computer use in higher education. Together, they help track the growth in computer use. This, the most recent survey, provides a timely and thorough review of computer use in 1976-77. The bulk of the report consists of statistical tables, with only a few pages of analysis. A second document (see 23:1.0/80) provides a much more thorough review and analysis of the data.

Still, the data themselves are of unusual interest to academic, industrial, and government readers. Data are summarized in terms of 83 groups, with institutions stratified in terms of control (public or private), highest level of offering, and enrollment size. This stratification provides an easy source of information about the various types of institutions. The degree of data detail is of particular value in institutional self-studies which require information on "comparable institutions."

The data themselves include: numbers and kinds of computer systems reported; types of computer science degree programs (including numbers of majors and degrees awarded); expenditures and sources of support (including information on hardware, software, and personnel costs); and instructional and research use by academic area (in terms of number of courses, number of students, and mode of instructional use).

The book serves as a useful reference. With a minimum of effort, fairly specific information can be gleaned about the behavior of various classes of institutions.

23:1.0/72

The Emerging Technology: Instructional Uses of the Computer in Higher Education, R. E. Levien, 585 pp. (McGraw-Hill Book Co., New York).

The first section of this major study of the actual and potential impact of computers on higher education deals with the ways in which computers are used in colleges and universities. Although somewhat dated, it still can serve as a valuable introduction. Chapters that attempt to quantify the extent of computer utilization are of course now dated.

Part III presents an analysis of future prospects for computer use in terms of economics, technology, attitudes, and institutional decisionmaking. Suggestions are offered to provide faculty members

with greater incentives for making effective use of new technologies
and for creating a more market-like environment for the development
and distribution of computer-based instructional materials.

The reader will find particularly helpful the author's insights in-
to the interplay of the evolution of computer technology, the changing
demands upon higher education, and the development of other in-
structional techniques.

In the light of this analysis, the study concludes with recommen-
dations that would improve the efficiency of computer use and ensure
the adequate training of a sufficient number of persons to meet na-
tional needs for computer specialists, users, and literates. Recommen-
dations are directed at government, industry, and higher education
itself.

The book is the report of a study sponsored by the Carnegie
Commission on Higher Education and the Rand Corporation.

23:1.0/67

Computers in Higher Education, President's Science Advisory
Board, 79 pp. (The White House, Washington, D.C.).

Although it is now more than a decade old, the PSAC report
(also called the Pierce report) remains the clearest and most authorita-
tive statement of the nature and extent of needs for computing in
undergraduate education. The report touches briefly on the educa-
tional value of computers and the problems of preparing faculty, and
gives examples of typical instructional applications. The aspect of the
report most widely discussed is its forthright effort to quantify the
amount of computing needed by students of different kinds. This
quantification effort has created a yardstick against which many in-
stitutions have found it useful to measure themselves.

Some of the more detailed descriptions of computer technology
are dated but the analyses, conclusions, and recommendations are still
pertinent. College and university readers will be particularly interested
in findings on what students need and should be provided with as well
as on the need for faculty training programs. The recommendations
for actions on the part of the Federal Government were largely
disregarded.

See also: Topic 25, **Educational Communication and Technology,** for
further references on the role and scope of computing in instructional
application. In particular, see 25:2.0/72 **The Fourth Revolution: In-
structional Technology in Higher Education,** A Report and Recom-
mendations by the Carnegie Commission on Higher Education.
25:4.0/75 **Computers and the Learning Process in Higher Education,**

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John Frolick Rockart and Mildred S. Scott Morton, A Report
Prepared for the Carnegie Commission on Higher Education.

2.0 ORGANIZING AND MANAGING THE COMPUTER FUNCTION

2.1 Management Issues

23:2.1/78

"Minicomputer Acquisition Policy: a Process and a Conclusion," Gordon L. Nordby, *Educom Bulletin,* Summer, pp. 2-8.

Although the basic mode of providing computing on campus is through a centralized service organization, alternative sources of computing are becoming more attractive. Subtopic 2.3 of this bibliography deals with networks; another important option is the use of mini- and micro-computers.

Campuses are experiencing the proliferation of computer acquisitions of all kinds for a wide range of purposes. This article argues that the institution needs a policy to coordinate such purchases with the best interests of the campus as a whole. It emphasizes the importance of centralized planning, management, and control, even when hardware, software, and personnel resources are decentralized.

Using the example of the University of Michigan, the author presents a set of policy guidelines that conform to these requirements. The policy is expressed in terms of 11 questions that need to be asked vis-a-vis recommendations to acquire new computers for a special purpose.

23:2.1/74

Contracting for Computing, Vol. I: A Checklist of Standard Contract Terms and Clauses, Harry Rowell and Carolyn Landis, 156 pp. (Educom, Princeton, N.J.).

23:2.1/75

Contracting for Computing, Vol. II: A Checklist of Terms and Clauses for Use in Contracting with Vendors for Software Packages and Custom Software, James Poage and Carolyn Landis, 148 pp. (Educom, Princeton, N.J.).

The authors of these two volumes have assembled terms, conditions, and paragraphs from contracts entered into by colleges and universities acquiring computer hardware and services. The books serve as a useful checklist of items that should be considered when drawing up such contracts. Because the books contain paragraphs

from actual contracts, the exact wording can be used as a model or a guide.

The first volume covers hardware and the second volume deals with software. They are not books to be read but reference works that will be of considerable value when an institution is negotiating a computer-related contract.

23:2.1/73
Academic Computers in Service, Charles Mosmann, 186 pp. (Jossey-Bass, San Francisco).

This study is intended as a practical handbook for academic administrators, providing a review of the nature and value of computer use in colleges and universities as well as an introduction to the issues administration and faculty must deal with vis-à-vis this use. The early chapters depict the environment of modern educational computing in terms of academic priorities rather than technical detail. An explanation of the range and complexity of user requirements introduces a discussion of the range of possible services that may satisfy these needs (including off-campus computers and networks). On this basis, the need for management control of the computing resource is addressed.

The attendant problems and issues are depicted, covering matters of the management and use of computing for administrative and academic purposes. They begin with matters of the management of computing resources in terms of organization, policy, and finance. The use of computers in instruction and administration is then addressed. Some discussion of the problems of acquiring systems is also included.

Each chapter concludes with a description of documents, services, and other resources that allow for further exploration of the topics covered.

2.2 Allocation and Pricing

23:2.2/77
Charging for Computer Services: Principles and Guidelines, Dan Bernard, 120 pp. (Petrocelli Books, New York).

Charging user departments for service is both a cost-allocation mechanism and a tool for management control. Policies need to be tailored to the requirements of a specific organization. An earlier published reference (23:2.2/70) provided a brief overview of the rationale of charging as a mechanism for resource allocation. This more extensive study lays out design principles, considerations, and alter-

natives. It explains how to decide between alternatives as well as how to design a charging policy for the individual institution.

The bulk of the book consists of two long chapters: "Policy Level Issues" and "Design of a Pricing Scheme." Policy-level issues include discussions of alternative approaches, the costs of charging, the need for supplementary control mechanisms, and the advantages of excluding some categories of use.

Advice on the design of a pricing scheme begins with an effort to clarify the underlying principles, especially the objectives of the scheme and its desirable characteristics. The selection of a pricing structure, selecting and measuring resources to be charged for, and consideration of priority are also treated before alternative pricing methods are discussed. The issues are broadly and fairly covered without a great deal of technical detail.

23:2.2/74

"Computer Use Under a Free-Access Policy," Arthur W. Luehrmann and John M. Nevison, *Science,* Vol. 184, May 31, pp. 957-961.

Allocating scarce and valuable computing resources among alternative users is perhaps the most critical management issue in the world of computing. Several titles in this section deal with the use of pricing as an allocation mechanism. This article makes the case that all members of the academic community should have free access to computing as they have to the library.

The experience of Dartmouth in the use of such a policy forms the basis of the article. The major points are that a free-access policy results in nearly all members of the community using the computer, and a small fraction of the users account for a large fraction of the use. Also, if large users must be served, the ancillary cost of supplying small users is very slight. The article explains how rationing works in such an environment, since it is not proposed that free access mean unlimited use. The data that accompany the article and that exhibit the distribution of use among users are striking; studies at other institutions with free-access computing have shown similar patterns.

23:2.2/70

"The Allocation of Computer Resources—Is Pricing the
Answer?" Norman R. Nielsen, *Communications of the ACM,*
Vol. '3, No. 8, August, pp. 467-474.

Rather than providing computing as a free resource to all poten-
tial users, most campuses have found it useful to put a price on com-
puting and charge users for the services they require. Often no real
money is involved, since the computer center is funded as a line item in
the university budget and departments are provided funds ("funny
money") that can be spent only at the computer center. In these cases,
the pricing of computing provides a means of allocating a scarce
resource to the users who need it most.

This paper clearly outlines the rationale for pricing and the roles
played by the administration, the users, and the computer center
itself. The author touches on the most critical issues and describes
alternatives, including some very practical advice: setting resource
prices; selecting the resources to be priced ("...it is desirable to attach
prices only to resource measures on which the user perceives he has
control."); identifying problems of temporal as well as physical
resources (i.e., making night and weekend computing attractive); and
recognizing the problem of educating users to understand the system
and make appropriate decisions.

2.3 Networks

23:2.3/79

"Management Issues in Cooperative Computing," Dan Ber-
nard, *Computing Surveys,* Vol. II, No. 1, March, pp. 3-17.

Computer networks present special management problems, par-
ticularly the coordination of planning efforts within the network itself
and among the participating organizations. As perhaps the first
significant form of interinstitutional sharing of critical resources, net-
working demands an exceptional level of cooperation and planning on
the part of participating campuses. Careful planning and continuous
effort, this article points out, are needed to assure continued commit-
ment throughout the development and operation of a network.

Five particular problems in network management are addressed:
(1) the need for central management of the network, (2) conflicts of
interest between participants with different expectations and motiva-
tions, (3) loss of local autonomy, (4) differing perceptions of costs and
benefits to different groups within an organization, and (5) the need
for coordination and user support. These problems affect all phases of
network development and operation. The author discusses ways in
which the basic structure of the network organization influences the

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handling of these problems and the effectiveness of the network in serving the needs of the user organizations.

23:2.3/74

Networks for Research and Education: Sharing Computer and Information Resources Nationwide, Martin Greenberger, Julius Aronofsky, James L. McKenney, and William F. Massy, eds., 418 pp. (MIT Press, Cambridge, Mass.).

Much of the computer hardware (with its associated software and data bases) at American universities represents unique or highly specialized resources. In many cases it is more desirable for an institution to use such a resource at a distant campus than to attempt replicating the resource closer to home.

This report explores the political, economic, and managerial issues implicit in the attempt to create a national network to facilitate such sharing. The basis of the study was a series of seminars, and the book contains these seminar papers as well as discussions and analyses of the issues. A major result of the effort was the development of such a network (EDUNET). Many of the papers, however, will be of more general interest, since they deal with the nature of networks, the reasons for universities to be interested in their use, and the strategies for the effective employment of such resources now that they have become available.

Major sections discuss user characteristics and needs (including needs of special user groups as well as general descriptions of network use), organization issues (economic policies, university relations with networks, the politics of cooperation), and operations and funding (from the points of view of both the user and server).

23:2.3/73

A Study of Regional Computer Networks, Fred W. Weingarten, Norma R. Nielsen, James R. Whiteley, and Gerard P. Wray, 257 pp. (University of Iowa, Iowa City).

The use of centrally located computer centers to provide service to two or more institutions is a mode of computing that presents some special problems and issues to the organization providing the service and to the using campuses. Regional networks are such centers that provide computing to colleges within the same geographical area. Frequently, but not always, the institutions are under the same jurisdiction, i.e., are members of the same statewide system.

In this report, five such networks are thoroughly reviewed, and a general analysis of the network concept and implications is provided. The early chapters introduce the network idea and its general feasibil-

ity in terms of existing exemplars. The impact of the network on both the finances and the overall computing environment of the institutions concerned is then considered. The report is basically nontechnical and includes a useful primer on communications technology.

A major chapter lists and discusses "network parameters," the significant factors used in describing networks. These factors must be examined by institutions considering present or potential participation in a network.

3.0 USE OF COMPUTERS IN INSTRUCTION

23:3.0/78

Computer and the Learning Society, A Report prepared by the Subcommittee on Domestic and International Scientific Planning, Analysis, and Cooperation of the Committee on Science and Technology, U.S. House of Representatives. (U.S. Government Printing Office, Washington, D.C.).

This committee held hearings to investigate questions related to the role computers may play in improving the effectiveness and efficiency of our educational system. Their report summarizes the hearings and makes specific recommendations. Major interests of the committee are: the potential improvement of the current performance of education in America, the need to prepare for the microcomputer revolution, and the responsibility for educating citizens in understanding the social and political implications of this revolution.

Several major current projects (including PLATO and TICCIT) are described. Special opportunities for using computers in the education of both the handicapped and the gifted are also treated, as well as the roles played by various Federal agencies.

The recommendations urge greater Federal funding of research in computer-related instruction and more initiative in the development of viable research strategies. A presidential commission is proposed as a means of articulating national priorities and goals with respect to computers in education, of estimating funding needs, and of proposing legislation. At the present time, these recommendations are still under consideration.

23:3.0/77

Computers in Undergraduate Teaching: State of the Art Report in Selected Disciplines, CONDUIT, 320 pp. (CONDUIT, University of Iowa, Iowa City).

CONDUIT is a nonprofit organization for the dissemination of computer-based instructional materials in machine-independent form. This report provides an assessment of current practice in those disciplines where the heaviest use might be expected: biology, chemistry, physics, mathematics, management science, and the social sciences (particularly geography, political science, psychology, and sociology).

Although the report will be primarily interesting to faculty in those disciplines, others will find useful material. In particular, an introductory overview includes information on the extent of computer use as reported in a recent survey. Data are reported not only by discipline but also in terms of mode or type of use such as problem-solving, simulations, and CAI. Trends in use and barriers to future growth are also treated. The bibliography includes periodicals, indexes, and directories as well as the more conventional books and papers. Each of the discipline-related chapters includes further bibliographic references.

23:3.0/76-1

Computing as a Matter of Course: The Instructional Use of Computers at Dartmouth College, John Nevison, 45 pp. (Kiewit Computation Center, Dartmouth College, Hanover, N.H.).

According to the author, when computing is made available to faculty and students, they will make use of it in the educational process. One way of assessing this use is to ask the faculty why they assign computer-related work in their courses and what they think the students achieve. At Dartmouth, computing resources are widely available and heavily used. Nevison conducted a careful survey of faculty to determine what they felt the benefits of computer use to be and what its effect had been on their courses.

The report provides useful insights into some of the nonquantitative impacts of the computer on instruction. The study will also serve as a useful guide to those who would like to evaluate instructional use on their own campuses.

23:3.0/76-2

Evaluating Instructional Computing: Measuring Needs and Resources for Computing in Higher Education, Charles Mosmann, 88 pp. (University of California, Irvine; reprinted by Educom, Princeton, N.J.).

Perhaps the toughest issues an institution faces in providing computing for students and faculty to use are evaluation of the quality level of computing to be provided and the decisions as to how much is enough. This essay reports some ideas on how to deal with these problems. Draft questionnaires are suggested for measuring both quantity and quality of instructional computing. A method for assessing need is also described. Chapters are directed toward instructional effectiveness (what does computing add to education?) and on what students do with computing. The latter also includes some "rules of thumb" on the amount of computing needed by students of different kinds for different purposes.

'Although this brief book does not provide any authoritative solutions to the tough problems, it provides some tools and suggestions which may be helpful to an institution seeking its own solutions.

23:3.0/75-1

Learning Alternatives in U.S. Education: Where Student and Computer Meet, Beverly Hunter, Carol S. Kastner, Martin L. Rubin, and Robert J. Seidel (Human Resources Research Organization), 398 pp. (Educational Technology Publications, Englewood Cliffs, N.J.).

The staff of the Human Resources Research Organization has brought together in this book a great deal of information about computer-based instruction and presented it in a clear and coherent fashion to serve the needs of faculty, campus decisionmakers, and representatives of government and industry. In addition to assembling information about the state of the art, they have presented a case, with conclusions and recommendations, in the areas of significance of computer-based curricula, strategies for information exchange, potential mechanisms for dissemination of materials, and organizational structures for comprehensive development and implementation of computer-based learning.

The report stresses the close linkage of technological means to instructional ends, noting that the importance attached to computers in education depends on educational goals and the role of the computer in society. Conclusions and evaluations of long-range possibilities are stated in this context and deal with the needs for computer literacy and the potential for educational reform and curricular

enhancement. Recommendations stress the need for better means for the encouragement of curricular development and the distribution of successful materials.

In addition to an extensive bibliography, appendixes list other sources of information: catalogs, newsletters, journals, conferences, and professional and commercial organizations. These will be extremely useful to the reader who wants to become familiar with the most current and detailed information sources in the field.

23:3.0/75-2

Computers and Instructional Productivity: A Professional Report, Lawrence V. Willey, Jr., 30 pp. (IBM Data Processing Division, Bethesda, Md.).

A major expectation has been that computers would improve productivity in education, as they had in many other fields. This concise report presents the conclusions of a study aimed at identifying examples of such improvement and assessing the potential significance of increased instructional productivity in the future.

Fifteen specific examples were selected and examined. In no case were instructional costs reduced by the introduction of computers. In some cases, additional costs were avoided; in others, course content or student performance was significantly improved.

The report provides insights into the complexities that make the evaluation of alternative instructional methods a much more difficult task than it at first appears.

4.0 USE OF COMPUTERS IN RESEARCH

23:4.0/79

"Rejuvenating Experimental Computer Science, A Report to the National Science Foundation and Others," Jerome A. Feldman and William R. Sutherland, eds. *Communications of the ACM*, Vol. 22, No. 9, September, pp. 497-502.

The thesis presented here is straightforward. The sciences and technologies associated with computation and communication are of high national priority, for they form the basis for future developments in industry, education, research, and government. Academic institutions have provided much of the thrust in the past for the development of this field, both by their sponsorship of the basic research and by the training of the professional personnel required in industry and government. The current shortage of highly skilled staff has depleted the resources of the universities just at a time when major advances in technology have created greater need for experimentation and research.

On the basis of this argument, the report goes on to recommend Federal funding increases for research in computer science, greater cooperation between industry and higher education, and universities' greater recognition of the national need. Universities are urged to encourage faculty and students to remain in the education field (possibly by means of higher faculty salaries as in schools of business administration, management, and medicine), to support better hardware and software for computer science departments, and to encourage interinstitutional cooperation.

The report is based on an NSF-sponsored workshop, in which computer scientists from education, industry, and government participated.

23:4.0/74

The Scientific Process and the Computer, Donald N. Streeter, 468 pp. (John Wiley & Sons, New York).

This book represents an effort to provide a broad presentation of the ways in which computers are used in scientific research and the ways in which computing services can be provided to expedite efficient and effective use. It consists of two major sections, one on usage which shows computer use from the scientist's point of view, and one on management which examines the problem from the point of view of the service provider.

The section on usage includes examples of how computers are used in 25 case studies that range across the entire spectrum of science and technology. The cases are presented methodically, in terms of a taxonomy of scientific problems and processes. They begin with data collection and examination, then turn to problem formulation and experimentation, and finally touch on simulation, design, and documentation. Some analyses and generalizations assist the reader in moving from the case studies to a broader appreciation of the scope and potential of the computer's role.

The second major section of the book deals with the planning and management of computing for the purposes of scientific research. Because the orientation of the book is essentially toward industrial rather than academic research, the academically disposed reader will probably find this section less useful than the earlier one. The straightforward goals and the comparatively easy assignment of relative priorities of computing tasks in an industrial center allow its management to use techniques not always available on campus.

Another deficiency, odd in a book by a computer systems expert, is the failure to include any examples of the use of computers to pursue research in computer science. At most campuses, the computer scientists are, if not the primary users, the most demanding. Their use

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is also likely to be the most disruptive to other users, since some of the experimentation they want to conduct may alter or otherwise threaten the general level of service.

23:4.0/70-1

"Computers as Information-Processing Machines in Modern Science," W. O. Baker, *Daedalus*, Fall, pp. 1088-1120.

The impact of the computer on the conduct of science is not widely recognized or understood outside the laboratory. In fact, the availability of the computer permits totally new ways of obtaining and using information, opening the door to the investigation of increasingly complex systems and interactions. Modern scientific research often requires reviewing and synthesizing sets of data so vast as to have been inconceivable without electronic assistance.

This paper abounds with examples of numerical and non-numerical computation. Cited, for example, are applications in symbolic algebra, molecular structure, X-ray crystalography, psychological studies of perception and speech, and the scientific study of natural language.

The computer has simply become a part of modern science. If an institution expects its faculty to conduct meaningful research, the need for a high level of computer support is bound to be a prerequisite. This article serves as an illuminating review of the role of the computer in science. It provides descriptions of specific projects in a way that will not intimidate the scientific amateur and insights that will help the reader understand the scientist's need for computation.

23:4.0/70-2

"The Computer in the Humanities and Fine Arts," Sally Yeates Sedelow. *Computing Surveys*, Vol. 2, No. 2, June, pp 89-110.

In describing the use of computers in research, scientific applications naturally come to mind. It is important to remember that they can be much more broadly applied and that, as more young people receive training in these new methodologies, more faculty in humanistic disciplines expect to use computer assistance in their research. This paper is a careful survey of the use of computers in nonscientific areas.

The first half of the survey describes, from the humanist's point of view, the tasks to which computers are now being applied. Examples in art, architecture, music, and literature are used to demonstrate the use of pattern recognition and analysis.

A second section deals with the particular problems of data representations and manipulations that are critical in these applica-

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tions. In addition to applications in criticism and analyses, the author touches as well on computer-generated art or the use of computers to assist in the creation of art works.

5.0 ADMINISTRATIVE AND LIBRARY DATA PROCESSING

23:5.0/79

A Survey of Computer and Optical Scanning/Mark Reading Applications in the Admissions and Records Related Areas, American Association of Collegiate Registrars and Admissions Officers, 90 pp. (University of Washington, Seattle).

In a parallel with John Hamblen's survey of computer use (see 23:1.0/79), AACRAO used a supplementary questionnaire to obtain more detailed information on administrative applications. The report lists particular applications and notes statistical information, including the percentage of institutions that handle each function by manual, accounting machine, batch, and online computer methods. In addition, a detailed and itemized list is supplied, showing the status of each of the 50 applications surveyed at each responding institution.

Further sections of the report include hardware information and evaluation of optical mark and character readers. The brief report serves as a useful reference on the extent of automation of various functions and the names of particular institutions that have pursued them.

23:5.0/75

An Overview of Two Recent Surveys of Administrative Computer Operations in Higher Education, Richard L. Mann, Charles R. Thomas, Richard C. Williams, and Robert A. Wallhaus, 39 pp. (National Center for Higher Education Management Systems, Boulder, Colo.).

Results of two surveys are described in this report, each providing information on current trends in the use of computers in administration. One survey explored the nature and extent of computer use and identifies three major trends: (1) greater use of computers in all areas, (2) greater expenditures for computers, and (3) replacement of punched-card applications by on-line systems. The authors point out that in areas of application, student and financial systems account for more than half the resources used at the institutions surveyed and that physical plant applications are least likely to be computerized.

The second survey explores the growing trend to integrate applications and files into management information systems (MIS).

Such a system is distinguished by an integrated collection of both current and historical data files, which are used for management planning, resource allocation, and decisionmaking. The survey concludes that pressures of increasing complexity and the demand for improved internal management are leading colleges and universities to turn increasingly to this technique, and that 69 percent of the institutions responding to the questionnaire were planning or implementing a management information system.

23:5.0/73-1

Development of Information Systems for Education, Khateeb M. Hussain, 419 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

The design and development of information systems are presented here in a step-by-step approach. The author presents the basic concepts, vocabulary, and tools used in systems analysis and then describes the various stages of an information system's development. The work has the format of a textbook, complete with exercises, review questions, and references. Although designed for use in the classrooms, it is also well adapted to the needs of the individual reader who wants a primer on administrative systems and their application to education.

Flow charts and decision tables are presented as the basic tools of analysis. The general concepts of information systems, of data, information, and administrative functions, are also presented as necessary antecedents to the discussion of system development.

The bulk of the book treats the classic stages in system development: feasibility study, requirements analysis, system design, installation, and use.

23:5.0/73-2

Computer Systems in the Library: A Handbook for Managers and Designers, Stanley J. Swihart and Beryl F. Hefley, 338 pp. (Melville Publishing Company, Los Angeles).

The application of the computer to library operations presents some unusual problems which require special techniques. By and large, library applications are administrative; however, as computer use grows in both scope and sophistication, it has a more direct influence on the library user in searching for and obtaining information.

Most of the books in this field are designed for an audience of librarians, introducing them to systems and computer techniques. This book is no exception; it has been recommended here, however, because it covers the concepts and rationale of library processing

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clearly and coherently without so much nuts-and-bolts-level detail as to put off the amateur.

The basic applications are three: circulation (helping keep track of where the books are); acquisition (ordering, receiving, and financial control); and cataloging (making information about the book available to potential users). Beyond these applications, there is catalog production (book or on-line catalogs to replace card files), computer-based reference, and retrieval systems.

This book covers these areas and others. In addition, it treats some of the implementation problems libraries face. Library users, as well as librarians, should be fascinated by the potentials of automated assistance to the scholar searching for information.

See also: 31:3.0/79-2 **Examining New Trends in Administrative Computing,** New Directions for Institutional Research, No. 22, E. Michael Staman, guest ed.

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Curriculum

Arthur W. Chickering

The conception of the undergraduate[1] curriculum employed here is broader than typical definitions. It encompasses the full range of significant experiences and relationships resulting from the study, work, play, and day-to-day living activities students pursue. This orientation results from clear evidence that some of the most important kinds of learning and personal development of undergraduates occur outside formal academic structures and are not closely related to course content, distribution requirements, concentration requirements, and the like. This conclusion is not surprising because our learning results from all our living experiences. Learning primarily occurs when our existing knowledge and competence, attitudes and values, emotional rigidity or resilience, or behavioral repertoires are not sufficient to deal with new concepts, new relationships, and new responsibilities. In order to meet these challenges we acquire additional information, skills, and behaviors; we develop more complex perspectives, attitudes, emotional reac-

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[1]Planning *graduate* education is presented in Chapter 9, "Institutional Role and Mission."

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tions. All these changes constitute learning. These cycles of challenge and response, of differentiation and integration certainly are stimulated by classroom studies and academic content. But they are frequently challenged in powerful ways by nonclassroom educational processes as well—by extracurricular activities, relationships with fellow students and faculty members, and exposure to cultural norms and subgroups that deviate sharply from those students have met before.

With this broad perspective, we begin with general overviews that describe the impact of college on students, the ways in which various college activities, environments, experiences, and relationships involve different kinds of learning and personal development. Then we turn to the two basic topic areas, curricular design and course content, and the hidden curriculum and extracurriculums.

General Overviews of College Influences on Student Learning and Development. The writers in this section describe specific learning and more general developmental changes which college experiences and activities influence. Intellectual competence, interpersonal competence, emotional and moral development, practical competence for citizenship and family living, autonomy, and identity are some of the general areas addressed. Attention is also given to more specific outcomes concerning knowledge and competence pertinent to particular disciplines and professions. These authors summarize research and theory concerning learning and development related to particular academic fields, residence hall experiences, relationships with fellow students and faculty members, participation in extracurricular activities, and institutional size and organization.

Curricular Design and Course Content. In this section the writers address general issues concerning academic content and organization. The explosion of knowledge and the movement toward mass education have created major pressures for expanding college-level learning and content. Concurrently, there have been shifting conceptions of the role and definitions of "general education" and "liberal education," and the proper balance between these and professional or vocational studies. These works do not address the appropriate content for various majors or concentrations, nor do they suggest particular core requirements for general or liberal education programs. They do,

however, consider the major areas of knowledge, understanding, and student development that should be addressed.

The Hidden Curriculum and the Extracurriculums. The ways in which students pursue their learning have consequences over and above the particular content studied. References here address the influences of various teaching methods, educational resources, approaches to evaluation, and variations in relationships among students and between students and faculty associated with different classroom and institutional environments. Out-of-class activities, peer relationships, residential living, and student-faculty relationships overlap. These authors consider the dynamics by which the various educational forces at work seem to make a difference. Several of the volumes included suggest changes that would enhance various types of developmental outcomes.

TOPIC ORGANIZATION

24: Curriculum

1.0 General Overviews of College Influences on Student Learning

    1.1 General Syntheses of Research and Theory
    1.2 Special Focus and Followup Studies

2.0 Curricular Design and Course Content

    2.1 Historical Reviews
    2.2 Professional and Vocational Preparation
    2.3 Curricular Change and Reform

3.0 The Hidden Curriculum and the Extracurriculums

    3.1 The Hidden Curriculum
    3.2 The Extracurriculums

1.0 GENERAL OVERVIEWS OF COLLEGE INFLUENCES ON STUDENT LEARNING

1.1 General Syntheses of Research and Theory

24:1.1/79

College and Character, N. Sanford and J. Axelrod, eds., 278 pp. (Montaigne Inc., Berkeley, Calif.).

When that landmark volume *The American College* was published in 1962, its contribution was such that an abridged version for

more general use was created; it was called *College and Character* and published in 1964. This six-part volume is a revision of that work. Some of the original essays have been completely rewritten, some of the originals have been omitted, and others have undergone extensive revision. A few of the original chapters have seen very little change and are as pertinent today as they were in the early sixties. There are also several new essays. Thus we have a timely new work, drawing on the best of prior thinking and edited by two of higher education's most thoughtful and experienced observers.

Part One, *The College and Society,* comprises the following chapters: "Higher Education as a Social Problem," by Nevitt Sanford; "Toward a Social Theory of Intellectual Development," by Christian Bay; "The State University in Conflict with Its Publics," by Frank Pinner; and "The Viability of the American College," by David Riesman and Christopher S. Jencks.

Part Two, *Students as Consumers of Higher Education,* includes: "The Diverse College Student Population," by T. R. McConnell, Paul Heist, and Joseph Axelrod; "Student Selection and Guidance," by Joshua A. Fishman; "Fields of Study and the People in Them," by Carl Bereiter and Mervin B. Freedman; and "The Career Has Its Shadow," by David C. Beardslee and Donald D. O'Dowd.

Part Three, *Personal Development and the College Experience,* includes: "Freshman Personality: A Stage in Human Development," by Nevitt Sanford; "Academic Excellence: Product of Environment and Personality," by Donald R. Brown; "Personality Change in Students," by Harold Webster, Mervin B. Freedman, and Paul Heist; and "What Happens After College: Studies of Alumni," by Mervin B. Freedman.

Part Four, *Campus Environments and Institutional Settings,* includes: "Student Peer-Group Influence," by T. M. Newcomb; "Freedom and Authority on the Campus," by Harold Taylor; and "Environments for Learning," by George C. Stern.

Part Five, *New Teaching, New Learning,* includes: "The Teacher as Model," by Joseph Adelson; "The Classroom: Personal Development and Interpersonal Relations," by Joseph Katz; "Curriculum and Personality," by Joseph Katz and Nevitt Sanford; "Changing Functions of the Professor," by Robert H. Knapp; "Approaches to Teaching," by W. J. McKeachie; and "Teaching by Discussion and 'Active Learning,'" by Joseph Axelrod.

Part Six, *The Future of the American College,* includes: "Directions for Research and Self-Study in Higher Education," by Nevitt Sanford; and "Student Development and the American College," by Nevitt Sanford.

Each of the major parts has a brief overview describing each contributor's main points. Each chapter in turn is organized by major headings and subheadings which permit ready access to detailed discussions. Thus this comprehensive volume can be used most efficiently, with the reader having simultaneous access to particular areas of special detail as well as to those providing an overview of major ideas.

It provides an excellent update on the views presented 20 years ago in *The American College* and a broad-based address to major issues concerning college curricula.

24:1.1/77-1

Four Critical Years, Alexander W. Astin, 293 pp. (Jossey-Bass, San Francisco).

This book presents a comprehensive study of the effects of a variety of factors on more than 80 outcomes. The study is longitudinal, covering 10 years of findings and a broad range of data from over 200,000 students studying at 300 institutions. One of the main factors affecting student development is the type of college: large or small; public or private; selective or nonselective; 2-year or 4-year; single-sex or coeducational; predominantly white or predominantly black; religious or secular; and residential or commuter. Some of the outcomes affected are student attitudes, self-concepts, values, aspirations, behavior patterns, persistence, achievement, competency, career development, and satisfaction. Differences in academic curricula are dealt with as they affect student development.

Astin suggests that, in light of the research done, institutions need to take a hard look at policies and practices such as the deemphasis of residential experience, open admissions, importance of grade point average, size, research, and retention. He also questions the proliferation of commuter colleges, the changing of single-sex colleges into coeducational ones, and the movement of some private colleges into the public sector.

24:1.1/77-2

Investment in Learning, Howard Bowen, 507 pp. (Jossey-Bass, San Francisco).

This volume is packed with cogent summaries of major research contributions as well as the pertinent views of various educational leaders. These summaries and expert commentaries span the range of critical issues belonging to each of the major areas addressed. The volume has four major parts. Part One, *The Setting*, has chapters on

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efficiency and accountability as well as on intended outcomes. In Part Two, *Consequences for Individuals,* five chapters address the influence of higher education on cognitive learning, emotional and moral development, practical competence for citizenship and economic productivity, practical competence for family life, consumer behavior, leisure and health, and "the whole person." This part concludes with a chapter addressing institutional similarities and differences and their consequences for individuals. Part Three, *Consequences for Society,* shares findings concerning societal outcomes from education, societal outcomes from research and public service, progress toward human equality, and economic returns on investments in higher education. This part closes with a chapter stating the views of major social critics concerning the role and general social consequence of higher education, for good or bad. Part Four, *Conclusions,* discusses the worth of the cost of higher education and considers issues concerning the future of American higher education.

In this volume Bowen sticks close to the evidence, draws conservative conclusions, and resists sweeping generalizations. The stridency, breast-beating and puffery that often plague volumes criticizing or glorifying higher education are conspicious by their absence. Yet a visionary and humanistic perspective undergirds the volume and provides a solid background against which the whole enterprise is considered. Clarity of organization, effective use of subheadings, summary sections and chapter summaries, and a detailed table of contents permit selective reading and comprehension at different levels of detail. Major conclusions can be grasped in an hour. Supporting evidence can be efficiently identified for areas of special concern. This volume can work as a major reference for some years to come. Thorough reading is well rewarded because some of the most thought-provoking concepts and issues are found only in the detailed discussions.

24:1.1/72
Does College Matter? Some Evidence on the Impacts of Higher Education, Lewis C. Solmon and Paul J. Taubman, eds., 415 pp. (Academic Press, New York).

College does matter, according to the results of a conference on higher education sponsored by the Panel on the Benefits of Higher Education. The conference was held at Woods Hole, Massachussetts, in July 1972. This book is a collection of papers presented at that meeting as well as some papers written in response to the presented papers.

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The conference focused on the general question, "What do we know about the effects of different types of higher or postsecondary education on different kinds of individuals and on society?" There was particular concern for the effects of higher education on women and minority students.

The articles cover a variety of issues, utilizing many methods from survey research to interviews. Since the volume is a collection of authors, the question is viewed from many perspectives. There are five major sections: (1) Reviews of the Literature; (2) Income-Related Effects on the Educated; (3) Effects on the Educated: Emerging Areas of Study; (4) Public Aspects of Higher Education; and (5) Overviews. Titles within these sections include "Does College Make a Person Healthy and Wise?," "Effects of Higher Education," "The Effects of College on Individuals," "Whose Education Should Society Support," and "Perspectives on the Benefits of Postsecondary Education."

An introduction by Taubman and a summary by Solmon help set the stage and provide a final perspective. Solmon feels there is a need for much more research in higher education, not only on the effects of various types of institutions, but on different kinds of students.

The report demonstrates that college does make a difference in many ways, affecting the way students approach life generally, their subsequent earning power, their relationship with their children, and their contribution to society.

24:1.1/69-1

Education and Identity, Arthur W. Chickering, 367 pp. (Jossey-Bass, San Francisco).

This three-part volume uses the author's own research and the work of many others to describe the major dimensions of student development, the major aspects of college environments and educational practices that influence students' development, and the basic concepts and recommendations which might help strengthen ways in which higher education can facilitate developmental change. Part One, *The Young Adult,* describes seven major "vectors" of development: (1) developing competence; (2) managing emotions; (3) developing autonomy; (4) establishing identity; (5) freeing interpersonal relationships; (6) developing purpose; and (7) developing integrity. Part Two, *Conditions for Impact,* sets forth hypotheses and examines the evidence for college influences on students' development. These influences are organized in terms of the following institutional matters: clarity and consistency of objectives, curriculum, teaching and evaluation, residence hall arrangements, faculty and administration, friendships, groups, and student culture.

Part Three, *Theory and Action,* discusses the basic developmental processes of differentiation and integration as well as the significance of individual differences in encountering varied environments and activities. A final chapter suggests changes in curriculum teaching and evaluation, in experiential learning and scheduling, in institutional size, in advising and counseling, and in gover-
᠁titutional mission, all of which would incre᠁ the in-
᠁ education in the areas of development described in
᠁art C᠁.

The volume has several different levels of usefulness. Each major part opens with a substantial overview describing the major concepts which in turn are developed more fully in subsequent chapters. Chapters are clearly organized into sections and subsections that permit easy access to more detailed discussion. Although the basic propositions set forth in this volume were based on research and theory concerning student development and higher education prior to 1967, the literature that has been steadily accumulating since then provides results that consistently support these views. Therefore, this volume continues to be a useful contribution to the literature concerning the influence of higher education on student development.

24:1.1/69-2

The Impact of College on Students, Volumes I and II, Kenneth A. Feldman and Theodore M. Newcomb, 474 pp. (Jossey-Bass, San Francisco).

These books report and summarize research about higher education and college students from 1929 to 1969. The authors cover, in a comprehensive manner, the impact on students of various segments of the college experience such as general intellectual differences and influences of major fields, of resident groupings, of student culture, and of relationships with faculty. They also examine the significance of variation in student background and personality. The general findings include the following: (1) freshman-to-senior changes include declining "authoritarianism," dogmatism, and prejudice as well as less conservative attitudes toward public issues; (2) colleges have distinct characteristics and tend to attract students with similar characteristics; (3) within the same college, pursuit of different academic majors has effects beyond those of being selected into that field; (4) the maintenance of existing values is an important kind of impact; (5) college faculties do not appear to be responsible for campus-wide impact, although some are individually influential; (6) the conditions for campus-wide impacts appear to have been most frequently provided in small, residential 4-year colleges; (7) college impacts are conditioned

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by the background and personality of the student; (8) attitudes held by students on leaving college tend to persist thereafter; and (9) whatever characteristics encourage an individual toward a particular educational setting are apt to be reinforced and extended by the experiences in that setting.

Volume I provides general syntheses of the findings, while Volume II gives the research studies on which the Volume I generalizations are based

1.2 Special Focus and Followup Studies

24:1.2/68-1

Forms of Intellectual and Ethical Development in the College Years, William G. Perry, Jr., 256 pp. (Holt, Rinehart and Winston, New York).

Do the thought processes of college students change? Are the college years a period of inner personal growth, or simply a time in which to prepare for a career?

Perry and his colleagues conducted and tape-recorded unstructured interviews and encouraged students to choose their own topics of discussion. Interviewing students over a 4-year period so that the changes in their thinking might be examined, the researcher adopted the role of a person showing absorbed interest, deep involvement, patience, and respect.

There are nine "positions" that a student may move through, although some students never reach the higher levels. These nine positions are:

1) *Basic duality.* The world is taken for granted; unexamined obedience and conformity are necessary.

2) *Multiplicity pre-legitimate.* Other points of view are perceived but are dismissed as wrong.

3) *Multiplicity subordinate.* Multiplicity is perceived but the person still believes in authority. Authority believes that it is important that they think and that they select the *right* answer. It is also possible that authority is not yet sure of the answer.

4) *Multiplicity coordinate or relativism subordinate.* Authority is doubted; everyone has a right to an opinion.

5) *Relativism correlate, competing or diffuse.* Relativism is perceived; there are no absolutes; all of us are authorities.

6) *Commitment foreseen.* World definitely seen as relative, with different degrees of values; a beginning feeling that commitment may be necessary.

7) *Initial commitment.* Beginnings of commitment from within self.

8) *Orientation in implications of commitment.* Tensions felt; prospect of me:..bership with authority; identity sensed in content of commitment.

9) *Developing commitments.* Commitments are expanded or remade in terms of continued growth.

Perry also describes conditions of delay, deflection, and regression. When a student feels unprepared, resentful, alienated or overwhelme·' h·· or she may choose to "temporize," "escape," or 'retreat. i · nporizing is a prolonged pause of perhaps a year in any position—a stopping . In escape, students settle for position 4, 5, or 6 by denying the implications for growth. In retreat, the student becomes entrenched in the dualistic, absolutistic structures of positions 2 or 3.

It is the responsibility of the college to help the students recognize how they construe the world at different points in their growth. There is a wide range in any one college year, and among various students, of understanding the nature of knowledge, the origin of values, the intentions of instructors, and the students' own responsibilities. Colleges must address themselves to these needs if students are to receive the necessary confirmation of their membership in the adult community.

24:1.2/68-2

Growing Up in College, Douglas H. Heath, 326 pp. (Jossey-Bass, San Francisco).

Using Haverford College in Philadelphia as the basis for his studies, Heath has tested a theory of maturing induced from biological, psychoanalytic, and psychological theories and data. Haverford College is a small liberal arts college for men with an enrollment of approximately 500 students. Although the initial study deals with a small number of men in one college, the theory is being extended and tested in other areas.

Heath uses both testing instruments and personal interviews. The purpose of the study is to determine what environmental determinants affect healthy development in young adults.

According to Heath, a maturing person becomes more able to represent experiences symbolically, more "allocentric" (other centered), progressively more integrated, more stable, and more autonomous. These dimensions of development occur in four major areas—intellect, values, self-concept, and interpersonal relationships. His research demonstrates that higher education can provide the

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means for students to become both liberally educated and mature individuals. Maturing determinants vary depending upon the area. Certain courses weigh heavily in relation to intellectual maturing, as do the intellectual atmosphere of the institution and faculty academic expectations. Relationships with roommates, friends, the types of students at the college, faculty academic expectations, and living arrangements are major determinants in relation to self-concept and interpersonal relationships. The college's intellectual atmosphere, the social and academic honor systems, friends, and roommates are major determinants in the area of values.

24:1.2/67

Persistence and Change: Bennington College and Its Students After Twenty-five Years, Theodore M. Newcomb, Kathryn E. Koenig, Richard Flacks, and Donald P. Warwick, 292 pp. (John Wiley & Sons, New York).

This book is based on a 25-year followup study of Bennington College graduates. An original study, conducted from 1935 to 1939 when Bennington College was relatively new, was used during 1959-1962 as a basis for restudy of as many graduates as possible.

Most of the students examined in the first study came from old New England families. This study indicated that the college had a definite impact on students' thinking. It fostered individualism, nonconformism, liberal attitudes, an awareness of the outside world, and intellectualism. Women tended to become more liberal after having been at Bennington. The study emphasized the influence of "the college community." Nonetheless, although a large majority of students changed, a sizable minority did not.

The second study indicated that students entering from 1959 to 1962 tended to be more liberal before coming to Bennington and quickly found groups to which they could relate. This study found that the changes in the alumnae begun at Bennington during undergraduate years tended to persist, even in the face of opposition. It was also determined that the two generations expressed similar points of view and were therefore more similar than either of them believed.

The conclusion of this second study was that the dominant norms at Bennington were and are potent. Upon leaving the college, students are likely to find life styles that support the Bennington-induced or -reinforced attitudes.

The sophistication and thoroughness of this followup study make it an outstanding contribution to the literature concerning the lasting influences of a potent college program.

2.0 CURRICULAR DESIGN AND COURSE CONTENT
2.1 Historical Reviews

24:2.1/78

Handbook on Undergraduate Curriculum, Arthur Levine, 662 pp. (Jossey-Bass, San Francisco).

Designed as a resource, this very comprehensive two-part book discusses curriculum from a variety of aspects. Levine handles the different areas generally considered part of the curriculum by including in each section the definition and history, the current state, criticisms and proposals of the current state, and a list of references. In this manner he discusses the following topics: General Education, The Major or Concentration, Basic and Advanced Skills and Knowledge, Tests and Grades, Education and Work, Advising, Credits and Degrees, Methods of Instruction, and The Structure of Academic Time.

Part Two is entitled "A Comparative and Historical Perspective on Undergraduate Curriculum." In this part, Levine provides a brief history of higher education at the same time that he provides some highlights of the views of philosophers of education. There is also a section comparing the American systems to those of several other countries, as well as a comprehensive glossary of educational terms and phrases.

Levine does not attempt to reach any general conclusions. Nonetheless he makes a very useful contribution by bringing together information from many areas for use by those involved in curriculum development.

24:2.1/77

Curriculum: A History of the American Undergraduate Course of Study Since 1636, Frederick Rudolph, 362 pp. (Jossey-Bass, San Francisco).

Rudolph provides a comprehensive survey of the evolution of curriculum planning in American colleges and universities. Beginning with Harvard, which was built on the English tradition, through other colonial colleges, the land grant movement, and more recent developments, we see some of the basic values and issues underlying specific curriculum orientations.

Colleges originally were founded to train ministers for the community. As the country expanded, college became necessary for people of wealth and position in order to maintain status. With the western expansion, the new country needed well-educated people in other areas and began to develop curriculums to meet those needs.

Arguments as to whether a college education should be classically or pragmatically based run throughout this history. So also do arguments about who should be allowed to go to college as well as who should be supported by the state or nation.

Rudolph points out that the curriculum has been subject to changes, revisions, and updating through the years. These changes, however, have not always kept pace with student needs, nor have they been systematic or organized. He suggests that perhaps there is no such thing as "the one curriculum," since choice of curriculum will always reflect a particular institutional philosophy.

The chapter titles give a general sense of the overall structure. After the opening chapter, "Frames of Reference," which describes definitional complexities in determining what is to be encompassed by the term "curriculum," "The English College on the American Frontier" describes developments from the 1600's to 1800. Then "The New American Curriculum" discusses developments during the proliferation of private colleges from 1800 to 1850. "Crisis and Redefinitions" and "Disarray" describe conditions associated with the Morrill Federal Land Grant Act of 1862 providing Federal lands to support "agricultural and mechanical colleges" and with the increasing criticisms of higher education during the period from 1850 to 1900. "Remedies" discusses various innovations and responses to these conditions that occurred after the turn of the century, and "The Last Fifty Years" brings us up to date on recent developments.

2.2 Professional and Vocational Preparation

24:2.2/75

The Useful Arts and the Liberal Tradition, Earl F. Cheit, 166 pp. (McGraw-Hill Book Co., New York).

This book discusses four of the newer "useful" professions: agriculture, engineering, business administration, and forestry. Each profession's origins, history, changing emphasis, and trends for the future are examined.

Cheit also examines the relationship between liberal education and vocational training in these professions. Leaders in these areas believe that students should receive both liberal and vocational training; they should learn to think as well as to do.

He asserts that there is an increasing need for vocational and professional education. In fact, the changing faces of the nation's colleges are responding to the demands of students to meet these vocational needs. At the same time, it has become increasingly clear that the liberal arts education performs an important function in vocational/professional preparation.

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In his view, as work-related study becomes the norm, the need for the influence of liberal education grows. This description of developments in four key areas provides a solid basis for achieving an effective integration of professional and liberal education.

24:2.2/74

"Higher Education for Occupations," Lewis B. Mayhew, *Southern Regional Education Board,* Monograph No. 20, Atlanta, Ga., 147 pp.

There is the age-old debate in higher education as to whether a university should insist on a broad-based education or should prepare a student for a specific career or vocation.

This monograph concentrates on the technical, vocational, and career programs offered in 2- and 4-year colleges. The author has tried to gather in :rmation that could help faculties implement occupational and vocational changes in the curriculum. These colleges offer a wide range of programs with varying degrees of vocational training. Aside from the regular bachelor's degree-granting institutions, fhere are junior and community colleges, area vocational schools, apprenticeship programs, proprietary institutions, business and industry programs, correspondence education, adult education, and cooperative education. However, even within each of these groups there are diverse programs, with each school subscribing to its own philosophy of what students should receive. Some of these programs are career education, counseling and guidance, and tests and measurements.

In Mayhew's view, one problem is that many schools seem to consider it necessary to be all things to all students. He asserts that an institution should develop those programs for which a competent faculty is available or can be recruited. In offering an occupational or vocational program, the institution should be in a position to provide appropriate resources in that area or relate the program to the surrounding area.

Some schools are experimenting with the curriculum as well as class and degree structures. Changes are noted in length of study unit, space, use of peers in the learning process, educational technology, new testing procedures, off-campus-experience, and developmental studies. However, it is Mayhew's contention that in order for such changes to take root, they must be accompanied by strong administration and faculty commitment, financial backing, competence, and payoff for students and faculty.

2.3 Curricular Change and Reform

24:2.3/78

Alternatives to the Traditional, Ohmer Milton, 156 pp. (Jossey-Bass, San Francisco).

At a time when education, students, and society are changing, many colleges insist on adhering to traditional teaching practices. This persistence occurs despite extensive research and publication concerning diverse alternatives.

Milton argues that faculty and institutions must address some basic questions: Is surveillance the proper role for teachers? Are some students being harmed by being kept in school too long? Is there a relationship between formal education and on-the-job performance? Does the scramble for grades and credentials promote or hinder learning?

In Milton's view, students have been conditioned to respond to classes and faculty in certain ways. When given a textbook, a course outline, and the certainty of a final exam, they can create the pattern of the class. The suggestion of many studies that faculty have little impact on student learning is difficult for faculty to accept and many refuse to do so, but the fact remains that "efficient teaching by the faculty does not necessarily promote sufficient learning by the students."

In his closing statements, Milton leaves us with three questions that are broad in scope, deep in thought, and difficult to solve: (1) How can institutions be reorganized to allow educational issues to become paramount and theories about undergraduate learning a reality? (2) How can undergraduate faculty members be helped to oppose graduate school domination of curricular affairs? and (3) How do we introduce and encourage the weaning process so that responsibility for learning is assumed by the student?

24:2.3/77

Developing the College Curriculum: A Handbook for Faculty and Administrators, A. W. Chickering, D. Halliburton, W. Bergquist, and J. Lindquist, 313 pp. (Council for the Advancement of Small Colleges, Washington, D.C.).

Earl McGrath's foreword to this book provides a useful synopsis: "This book is no rehash of the many arguments and points of view so prolifically produced in recent years. It deals as much with the theory of American higher education as with its current practice. And when the various statements describe unusual curricular innovations or models, they consider the philosophical and theoretical basis on which they rest. They avoid, in fact they decry, the practice of the past

of suggesting that the curriculum policies of one institution, however sound they may appear, are suitable for adoption in another whose student body, faculty, resources, facilities and traditions may be quite different. Those institutions which are contemplating or undertaking curriculum changes will find in this volume rich sources of help. This reader was especially rewarded by discussions of factors in American and institutional life which ought to be considered before any restructuring of the curriculum is initiated. The first of these relates to the purposes of higher education. Second, curriculum reform, if it is to serve a certain constituency, must take into consideration the changes that have taken place in college-going youth in a few years. Third, the unexpressed premise in most faculty discussions is the idea that every student in every course is planning to major in a given field, or more likely going on to graduate work in a related discipline. The simplest analysis of the full complement of courses with a comparison of the number of departments and students discloses the unsoundness of any such theory. Fourth, the need for new courses designed especially for mature adults is manifested in the swiftly changing character of American life. This handbook is a mine of information on current curriculum theory. Readers will be able to observe how these theories have been given expression in the concrete, i.e., the implementation of innovative programs under various institutional traditions and present conditions."

This volume is organized in four parts. Part 1, by Chickering, *Curricular Rationale,* has chapters discussing direct pressures and immediate conditions demanding curricular change and those major social changes, including current and future social conditions, which provide the context for those changes. Part 2, by Halliburton, is called *Curricular Design.* It discusses various perspectives on the curriculum and factors to be taken into account in designing the curriculum. Part 3, *Curricular Practice,* by Bergquist, discusses curricular practice, opening with brief comments on diversity in the college curriculum. A following chapter describes eight curricular models: (1) heritage-based, (2) thematic-based, (3) competency-based, (4) career-based, (5) experience-based, (6) student-based, (7) values-based, and (8) future-based. Part 4, by Lindquist, *Curricular Implementation,* presents concepts, instruments, and activities helpful in discussing the obstacles to curriculum development, the determination of curriculum development objectives, curriculum formation and decision, and implementing and evaluating curricular reform. Appendixes provide concrete descriptions of innovative college curriculums at 22 different institutions and a number of curricular planning tools.

24:2.3/76-1

Changing Practices in Undergraduate Education, Robert Blackburn, Ellen Armstrong, Clifton Conrad, James Didham, and Thomas McKune, 56 pp. (Carnegie Foundation for the Advancement of Teaching, Berkeley, Calif.).

This study posed a basic question: What has been happening to undergraduate education in the United States? The investigation was divided into two phases. In Phase I the years 1967 and 1974 were compared for the components of general education as well as for the magnitude of degree requirements. Phase II of the study used transcript analysis of actual programs of graduates of 6 arts and sciences departments at the 10 colleges and universities chosen from the initial group for the Phase I survey.

The sample was chosen by "Carnegie" types: research universities, other doctorate-granting universities, comprehensive universities and colleges, liberal arts colleges, and community colleges. The first four classes were each divided into two groups on the basis of student selectivity. Each category was then divided by type of control, public or private.

The study found an appreciable shift toward specialization, less emphasis on general education, and a marked move away from specific course requirements toward distribution requirements. The number of classes required in each of the disciplinary areas and the number of institutions requiring English, a foreign language, and mathematics as part of everyone's general education declined appreciably.

The final section of this report presents some related findings on the faculty role in curriculum change and also traces the possible implications of these findings for students, institutions, faculty, and society. The authors suggest that making students responsible for decisions about their academic program should increase student interest and foster growth and maturity; community of feeling may suffer because students will not have as many classes in common. As a result, new means of shared experience may have to be devised. In their view, it is more difficult to predict what future demands will be. Specialization has high value, but society needs people with a broad, liberal education who can understand the interrelationships of a problem.

24:2.3/76-2

Individualizing the System, D. W. Vermilye, ed., 217 pp. (Jossey-Bass, San Francisco).

This book presents selected papers from the 31st annual meeting of the American Association for Higher Education. It is a good com-

panion piece to *Learner-Centered Reform,* the report of the 1975 con-
ference. It has four major sections. Section One, *Education on a
Human Scale,* comprises the following papers: "Where Numbers
Fail" by Howard R. Bowen; "How Big is Too Big?" by Alison R.
Bernstein; "Equality, Excellence, and a Missing Link" by Benjamin
DeMott; "Education and the Free Self" by Stephen K. Bailey; and
"The Instructional Revolution" by K. Patricia Cross.

Section Two, *Improving Teachers and Teaching,* comprises:
"Faculty Development: The State of the Art" by Jerry G. Gaff;
"Faculty Evaluation for Accountability" by H. Bradley Sagen;
"Disciplinary Associations and Faculty Development" by Myron A.
Mart; "Professional Development for Women" by Janet Welsh
Brown; and "A Case Study in Faculty Development" by J. Herman
Blake and Ronald W. Saufley.

Section Three, *The Money Question,* presents: "Financing the
Independent Sector" by John R. Silber; "Institutional versus Student
Aid" by George B. Weathersby; "The Case for Selective Entitlement
Vouchers" by George J. Nolfi; "Speculating on Enrollments" by
Donald M. Norris; "Higher Education and Social Mobility" by Engin
I. Holmstrom; and "Learning and Earning" by Juanita M. Kreps.

Section Four, *The Knocking of Opportunity,* comprises:
"Academic Hypocrisy: A Media View" by Noel Epstein; "The
CUNY Experience" by Timothy S. Healy; "Ethnic Studies in Cultural
Perspective" by Richard Gambino; "The Case for Experiential
Education" by Morris Keeton; "Equality and Success" by M.
Elizabeth Tidball; and "In Pursuit of Equality: New Themes and
Dissonant Chords" by Eleanor Holmes Norton.

24:2.3/75
Learner-Centered Reform, D. W. Vermilye, ed., 229 pp.
(Jossey-Bass, San Francisco).

This volume shares selected papers from the 1975 annual con-
ference of the American Association for Higher Education. It has
four major sections. Part I, *Shaping a New Tradition,* contains the
following chapters: "Pros and Cons of Learner-Centered Reform" by
Robert M. O'Neil; "Changing Time Requirements" by Ernest L.
Boyer; "Educating a Whole People" by Jacqueline Grennan Wexler;
"Reform and Red Tape" by Morris T. Keeton; and "Role of
Statewide Boards in Program Review" by Elizabeth H. Johnson.

Part II, *State of the Art,* contains: "Learner-Centered Cur-
ricula" by K. Patricia Cross; "Faculty Roles in Contract Learning"
by A. Paul Bradley, Jr.; "Strategies for Contract Learning" by Jack
Lindquist; "New Approaches to Improve Teaching" by Jerry G.
Gaff; and "College for Prisoners" by Sylvia G. McCollum.

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Part III, *Measure of Success*, includes: "Evaluation to Improve Performance" by Harold L. Hodgkinson; "Evaluating Contract Learning" by Timothy Lehmann; "Alternatives to Degrees" by Jonathan R. Warren; and "Honors Inflation" by John G. Bolin.

Part IV, *Investing in Futures*, has the following chapters: "Teaching and Learning in 2000 A.D." by Howard R. Bowen; "Future of the Professoriate" by Joseph D. Duffey; "Restrictive Practices in Formula Funding" by L. Richard Meeth; "Higher Education Among National Budget Priorities" by Carol Van Alstyne; "Creative Planning" by Willard F. Enteman; and "Citizens' Bill of Educational Entitlement" by Clifton R. Wharton, Jr.

The contributors to this volume examine the fundamental shifts occurring in institutions of higher education as they move from a meritocratic to an egalitarian approach and create new alternatives responding to the diverse types of "new students" seeking higher education through 2- and 4-year colleges and universities. Concrete descriptions of new alternatives are presented together with more general discussions of issues concerning standards, financing, and public policy.

This collection of observations from established professionals provides an excellent collection of thought-provoking statements concerning ways in which colleges and universities can be more responsive to the increasing range of individual differences resulting from changing admissions policies, demographic and social forces bringing a wide variety of students into higher education, and the implications of those changes for teaching, financing, and the substance and quality of policy decisions.

Taken together, this collection of papers represents some of the best thinking available concerning various reforms that give greater attention to the students being served, the constraints and realities of their adult lives, and institutional changes necessary to respond more effectively. It can provide useful perspectives for persons interested in various approaches that intentionally move the learner closer to the center of the educational process.

24:2.3/74

Reform of Undergraduate Education, Arthur Levine and John Weingart, 160 pp. (Jossey-Bass, San Francisco).

Curriculum, in today's colleges, often evolves by committee to fulfill a specific need of the moment without being based on a sound institutional policy. Levine and Weingart have studied the curriculums and the processes in forming them at 26 diverse colleges from Antioch to Yale.

Data were gathered in two different ways. Interviews using open-ended questions with students, faculty, and administrators provided firsthand quantitative reports. Statistical data from the registrar or office of institutional research concerning enrollment patterns by major fields and content areas within majors provided more general quantitative information.   ∘

Predictions by Levine and Weingart that students would prefer to plan their own education and that innovative teaching methods and programs would be exciting to both students and faculty were not sustained. It was their feeling that this might be true because of the way in which these changes were made rather than the quality of the program. In their view, long-range planning and change will be more successful if based on a comprehensive overview of education as well as the philosophy of the school.

The book deals with seven major areas that have undergone experimentation and change in recent years. The following is a list of these areas along with the authors' observations or conclusions.

1) *Advising:* Academic advising is almost universally unsuccessful. To create a better system of advising there must be a view of the student as a whole person, a different method of assigning advisers, and the provision of better opportunities for the advising relationship.

2) *General Education:* General education is more important than ever in providing a basis for common humanity as opposed to the ever greater barriers between people generated by specialization.

3) *Comprehensive Examinations and Senior Year:* Comprehensives appear to stress passing and certification rather than transfer of information and individual growth.

4) *Concentration:* Major concentrations are considered vital, yet three of the studied colle; es function very well without them. Another requires student-created majors.

5) *Alternatives to Departments:* It is important that students take some courses outside a department in order to be exposed to other disciplines.

6) *Student-Centered Curriculum:* Peer-group teaching is not very successful. Group independent study does seem to work. Independent study is needed. Contract programs force students to think about what they want.

7) *Grading:* There does not seem to be an ideal grading system.

See also: 34:1.0/73-1, **Diversity by Design,** for the Commission on
Non-Traditional Study Survey and recommendations on the educational interests and activities of American adults.

24:2.3/71
Changing the Curriculum, Lewis B. Mayhew and Patrick J.
Ford, 204 pp. (Jossey-Bass, San Francisco).

This book brings together 10 years of research on undergraduate
curriculums. There was more research in this area during the sixties
than in any previous period. During these years, educators became
more aware of the needs of students and moved to adapt the curriculum to their needs instead of adapting students to the curriculum.

In any study of curriculum, certain issues are always present:
transmission of the culture versus utility; liberal arts versus vocational
or professional preparation; the general versus the specific; open or
closed; elective or prescribed; for the elite or for everyone; student or
subject oriented; discipline or problem centered; and scientifically or
humanistically focused.

The authors examine curricular changes in the light of these
issues. In conclusion they suggest postulates for a theory of curriculum. These postulates are: (1) students need structure; (2) every
human being is searching for meaning and reason; (3) good educational practice is likely to be good business practice; (4) any system of
education should have a built-in process for bringing about regular
change; (5) the purpose of curriculum is to change people; (6) every
part of the educational effort of an institution should be consistent
with every other part; (7) use the simplest organization, the fewest
number of courses; (8) the late adolescent period in the life of
Americans is a unique and distinct period; and (9) each level of curriculum should be articulated with other levels and with life outside
the curriculum.

3.0 THE HIDDEN CURRICULUM AND THE EXTRA-CURRICULUMS
3.1 The Hidden Curriculum

24:3.1/71
The Hidden Curriculum, Benson R. Snyder, 200 pp. (The MIT
Press, Cambridge, Mass.).

Campus conflict and student attrition are often a direct result of
inappropriate response to unwritten norms. In addition to completing
the program of courses, a student must cope with the "hidden curriculum" that tells him which behaviors are acceptable and what
responses are necessary for completing college. The student must also

understand what strategies and games are acceptable. Problems often arise for the student when he fails to understand and adapt to this curriculum.

Students do not openly discuss the hidden curriculum with the faculty or deans, inasmuch as it is essentially a semiprivate matter. An important part of the hidden curriculum is each student's perception of class settings and professors. The presence of formal rules and informal responses is not the crucial point; it is the dissonance created by the distance between the two. The resulting conflicts are often concealed. The student may elect to cope with the dissonance by adaptation, adaptive mechanisms, defense mechanisms, or copying patterns. The types of hidden curriculums vary depending upon the institutions, the formal curriculum, and the student's perception. Hidden curriculums also exist within social settings and job settings, so it is difficult to define in the abstract.

It is Snyder's contention that the hidden curriculum determines what will be the basis for all participants' sense of worth and self-esteem. Policy and program makers in higher education need to look closely at their functions to see if they are meeting the needs of the institution or the needs of the student. In addition there must be a closer relationship between the "real" curriculum and the "hidden" curriculum.

24:3.1/68-1

Making the Grade: The Academic Side of Life, Howard S. Becker, Blanche Geer, and Everett C. Hughes, 150 pp. (John Wiley & Sons, New York).

Many studies have been conducted on college students, yet very few have examined how a college student actually perceives college life. Students typically divide college life into three major areas: (1) academic work, including courses, grades, readings, term papers, and examinations; (2) campus organizations and campus politics; and (3) personal relationships, including friendship and dating.

The authors believe that these three areas are not discrete, because each has an impact on the others. However, since an in-depth study of all three areas would be lengthy and complicated by tenuous parameters, the authors decided to concentrate on the academic area.

During the study three participant observers spent 2 years at the University of Kansas. They went to classes, spent time in residential units, attended both formal and informal meetings of all kinds of campus organizations, and participated in many aspects of informal campus social life. A fourth observer spent two semesters at the University as a visiting professor in order to gather data on faculty and administration perspectives.

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One of the study's conclusions is that the traditional faculty view of student achievement is faulty. As the authors state, "it assumes that student performance depends solely on student ability and interest and ignores the complicated network of social relations, group definitions, and obligations in which students find themselves. It sees student performance as a simple response to the professor's offerings rather than as a complex set of daily decisions in a complicated and demanding social setting. It underestimates students' rationality in attempting to meet and satisfy the many conflicting and mutually exclusive demands made on them. It fails, in short, to give full weight to the socially structured conditions of student performance." The norms that relate to grading and evaluation and that define various orientations toward understanding and responding to those pressures are key variables which influence student effort and performance.

24:3.1/68-2

No Time for Youth, Joseph Katz and Associates, 463 pp. (Jossey-Bass, San Francisco).

This book deals with the developmental problems faced by students during their 4 years of college. The authors base their observations on a series of interviews with several hundred students compiled over a 4-year period. The book has four major sections: "How Students Change; From Curriculum to Career;" "Student Life," "Problems," and "Recommendations." The central problem is that colleges are failing to make education meaningful to students. Part of this failure results from sending conflicting signals to students: counseling a student, on the one hand, to obtain a broad-based education, and on the other hand, to choose a major early and begin specializing. In addition, important aspects of student growth and development are neglected by the curriculum. Therefore many students pursue such development through extracurricular organizations and relationships with others. The last chapter sets forth some recommendations on how colleges might change to reduce the discrepancy between what they promise and what they actually accomplish.

Some of these recommendations are: to recognize differences among students; to accept students' idealism and listen to their ideas; to pay attention to housing arrangements; to give explicit attention to students' personal growth; to provide fuller introduction to the world of work as part of the college experience; and to provide more interaction among students and between students and faculty on all levels.

See also: 38:1.0/75-1 College Professors and Their Impact on Students, Robert C. Wilson, Jerry G. Gaff, Evelyn R. Dienst, Lynn Wood, and James L. Bavry.

Earlier studies seemed to indicate that faculty had little or no impact on students. With the conviction that at least some college teachers do make a difference, the authors approached the issue with different questions over a long time period. The general question was: "What are the ways in which different kinds of faculty members influence or fail to influence different kinds of students?"

The book results from two different studies. The first, conducted during 1968-69, deals with faculty views of teaching. Six colleges, ranging in size from The University of California at Davis to Bard College, participated in the studies. The faculties were asked to complete a Faculty Characteristics Questionnaire over a wide range of items concerning faculty opinions, beliefs, perceptions, activities, satisfactions, and biographical information. The overall response rate was 70 percent.

The second study surveyed faculty impact on students, again by means of questionnaires. This time eight colleges participated. This study also used data from the Omnibus Personality Inventory completed by entering students in the fall of 1966. Faculty members completed a Faculty Questionnaire in the spring of 1970. Those remaining as graduating seniors who had been tested in 1966 were asked to take the Omnibus Personality Test as well as a Senior Questionnaire. The first study found that professors are concerned about the quality of teaching, student levels of ability need to be recognized, faculty-student interaction outside of class is important, faculty members tend to be ignorant of educational change options, nearly all professors are committed to teaching, and there is a widespread need for curriculum evaluation and possible change.

The second study found that effective college teachers try to make their courses more interesting and to interact more with students, students pursue activities in college that are consistent with their personal characteristics, students value close relationships with faculty, influential faculty have more impact on the intellectual development of students, and faculty should seek ways to improve undergraduate learning and teaching.

The authors do not suggest any absolutes in the way of change, but do suggest implications for the improvement of college teaching and college environments.

3.2 The Extracurriculums

24:3.2/74

Commuting Versus Resident Students, Arthur W. Chickering, 150 pp. (Jossey-Bass, San Francisco).

This volume presents the results of a number of different studies that compare the entry characteristics, college experiences, and educational outcomes of the following student populations: commuting students living at home, students living in off-campus housing, and students living in campus dormitories. Most of the studies were based on various national data sets collected by Alexander Astin and his staff when they were at the Office of Research of the American Council on Education. The results are put in the context of opening chapters concerning social changes, new students, new curricular approaches, and some basic concepts concerning individual differences and developmental dynamics.

The consistency of results across the diverse studies is striking. Whatever the institution, the group, the data, the methods of analyses, the findings are the same. Students who live at home with their parents fall short of the kinds of learning and personal development typically desired by the institutions they attend and reasonably expected in view of their special backgrounds. Students who live in college dormitories exceed the learning and development that are predicted when their advantages in ability, in prior educational and extracurricular activities, and in community and family backgrounds are taken into account. Students who live at home in comparison with those who live in college dormitories are less fully involved in academic activities, in extracurricular activities, and in social activities with other students. Their degree aspirations diminish, and they become less committed to a variety of long-range goals. They enter into educationally and developmentally useful experiences and activities less frequently, and they report a contracting range of competence. Their self-ratings for a diverse array of abilities and desirable personal characteristics drop. Their satisfaction with college decreases, and they become less likely to return.

Commuters and residents begin their college careers with an unequal start that strongly favors the residents. The gap between them grows. Residents encounter diverse experiences and persons that spur them on their way. Commuters do not. Thus, the major consequence of American higher education as it currently functions for commuters and residents is to increase the distance between them. The book concludes with a chapter on matching students with colleges and a series of recommendations concerning admission, orientation and program planning, curriculum and teaching, educational resources, and residential experiences.

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24:3.2/66

Student Culture, Walter L. Wallace, 236 pp., National Opinion Research Center, (Aldine Publishing Company, Chicago).

This is a study of how students in a small midwestern liberal arts college become assimilated in the local "campus culture." The study examines the effects of a particular college's informal social structures on its students' academic values, achievement, and aspirations.

The new students respond to socialization pressures exerted both by older students and the faculty. However, students and faculty frequently have different sets of messages for freshmen. The socialization process, therefore, depends on how freshmen decide which messages are more important, how they resolve the differences, and how they gradually develop their own integrated set of beliefs and behaviors. The author found that the socialization process seems to take place much more rapidly than was thought previously. This book gives us a detailed picture of those processes at work.

24:3.2/61

The Acquaintance Process, Theodore M. Newcomb, 303 pp. (Holt, Rinehart and Winston, New York).

Personal relationships exert some of the most powerful influences on student learning and development in college. This report describes the developments that occurred as 12 men met and for 4 months lived closely together in a college residence at the University of Michigan.

The researchers used games, discussions, interviews, and questionnaires to determine participants' attitudes and relationships. The findings showed that individuals organized their first impressions of others in terms of their own orientations. They processed subsequent information about each other in ways that resulted in changing friendships and perceptions of others.

In any meeting of two or more people, acquisition of information and assessment of attitudes begins. The human condition is such that each individual must come to terms with himself, others, and the world around him. As individuals have a chance to meet again and again, they are continuously reprocessing the information they receive from each other and arriving at new conclusions. Thus, they get to "know" each other better. In this process of mutual exchange, each party questions and modifies his initial orientation, responding to the diverse backgrounds and values of the new acquaintances and to the group norms which emerge. Thus the personal development of each member is enriched and shaped.

Educational Communication and Technology

James W. Brown

Educational communication and technology—sometimes termed instructional technology—has been defined in several ways. Two definitions especially deserve mention here. In 1970, Tickton stated:

> ...the media borne of the communications revolu-
> tion...used for instructional purposes alongside the
> teacher, textbook, and blackboard...(and including
> the pieces that make up instructional technology: tele-
> vision, films, overhead projectors, computers, and
> other items of 'hardware' and 'software'....[1]

Limitations of the foregoing became apparent as broader and more realistic views of the field developed. Perhaps the most authoritative current definition is that educational communications and technology is:

> ...a complex, integrated process involving people,
> procedures, ideas, devices, and organizations for

[1] Sidney G. Tickton, ed., *To Improve Learning: An Evaluation of Instructional Technology*, R. R. Bowker Co., N.Y., p. 7.

analyzing problems and devising, implementing, evaluating, and managing solutions to (them), ..1-volved in all aspects of human learning.[2]

This bibliography emphasizes *systematic* application of the principles of educational communication and technology toward educational ends. While much of what occurs in that process could be described as *mediated* teaching and learning, considerably more is involved. It is, essentially, a sequential decisionmaking process making the following determinations:

1. Teaching and/or learning goals and objectives.

2. Subject content essential to their achievement.

3. Status of learners with respect to their present knowledge and skills, their ability to learn, their learning styles or preferences, and their goals.

4. Teaching/learning modes most effective for specific circumstances, goals, and available resources.

5. Types and schedules of learning experiences of most promise for the required learning.

6. Types, numbers, and capabilities of people required to organize and conduct the learning experiences.

7. Types, numbers, and special characteristics of materials and equipment needed.

8. Physical facilities required.

9. Optimum ways to implement the learning program.

10. Evaluation of results.

11. Ways to improve the program, based on its evaluation.

Here, the topic of educational communication and technology is organized under six subheadings: theory, research, and issues; trends; instructional design and development; computerization and automation of instruction; standards and guidelines; and data sources.

Theory, Research, and Issues. Research and theory pertaining to instructional technology may be described as only partially matured. Much remains to be done to lift the field's

[2]*Educational Technology: Definition and Glossary,* AECT Task Force on Definition and Terminology, p. 1.

status to a "science." The most recent significant studies may presage what will ultimately be regarded as a revolutionary conception of education at all levels.

Trends. Surveys and trends studies of instructional technology applications in higher education are comprised chiefly of rather brief "case reports" and syntheses of research- and opinion-based reports (as, for example, the Carnegie Commission's *Fourth Revolution: Instructional Technology in Higher Education*). Together, they form a quite meaningful and helpful base for considering current issues.

Instructional Design and Development. Studies and position papers pertaining to instructional design and development form a principal base of curriculum reform, especially for higher education. Here, emphasis is upon clear definition of instructional/learning goals, attention to learner characteristics and to preteaching assessment of learner status, selection of subject content, selection of teaching/learning activities and resources, consideration of institutional resources to support curriculum activities, and continuous evaluation and improvement of the learning system itself.

Computerization and Automation of Instruction. Recent publications discuss the employment of several types of computers and related devices in providing self-instruction and performance evaluation. This topic is presented in this chapter because of a need to describe the vehicles for improved instructional delivery as part of educational communications. Chapter 23, "Computing Services," where related material may be found, has a different, more technical focus on the means of providing computer resources and training in computer use.

Standards and Guidelines. Standards and guidelines for the design and administration of higher education instructional technology systems, although frequently in the process of being developed through influential national organizations, are only preliminarily refined. Still, enough may be observed from them in their present incomplete state to predict their place in the near future of higher education.

Data Sources. Several recent publications combine to improve educational planners' access to reference data about instructional technology. The relatively few noted here will aid planners in obtaining and recording required data.

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TOPIC ORGANIZATION

25: Educational Communication and Technology

1.0 Theory, Research, and Issues
2.0 Trends
3.0 Instructional Design and Development
4.0 Computerization and Automation of Instruction
5.0 Standards and Guidelines
6.0 Data Sources

1.0 THEORY, RESEARCH, AND ISSUES

25:1.0/80

Professional Development and Educational Technology, Association for Educational Communications and Technology, 168 pp. (AECT, Washington, D.C.).

This work comprises proceedings of a national conference held in January 1980, and augmented by other materials. Eighteen professionals present papers on such higher education-related topics as: "Preparing for the Future" (Elizabeth L. Young, Public Satellite Corporation), "Videodisc Innovation Project" (R. Kent Wood and Don C. Smellie, Utah State University), "LARC: Access for Multi-media" (Phyllis Bush, California State University, Chico), "PLATO Basic Skills System" (Anne Emory, Baltimore, Maryland), "CAI and Training Needs" (Judith Edwards, Northwest Regional Educational Laboratory), "Looking Ahead" (Joseph Lipson, National Science Foundation), and others.

25:1.0/79

Issues in Instructional Systems Development, Harold F. O'Neil, Jr., ed., 211 pp. (Academic Press, New York).

This is a summary of research and theories of nine professionals concerning formulating an intellectual foundation for an instructional system development program. Although the setting for this research is chiefly the armed forces, findings could be applicable to education in general, as well as higher education more specifically. Phases identified in the system include: analysis, design, development, implementation, and control. Attention is given to the following undertakings and issues: CREATE, a Control Data Corporation curriculum designed to train authors, and to design and develop individualized multimedia instructional materials; TRADOC, or Interservice Procedures for Instructional System Development; ADIT, or Automated Data on Instructional Technology, providing 36 kinds of information;

TRAIDEX, or Training Resources, Applications, and Information/Data Exchange, a proposed system to minimize training duplication; production of computer-based instructional materials; and issues in instructional systems development, presented through three case studies.

25:1.0/70
Technology and the Management of Instruction, Robert Heinich, 198 pp. (Association for Educational Communications and Technology, Washington, D.C.).

This is a critical and exhaustive synthesis and discussion of possible bases for modernizing the paradigm pertaining to "instructional technology" and its relationship to the total field of education. The author forecasts and argues the need for various changed roles of instructional technology practitioners, and advocates increased attention to teacher roles under systems of mediated instruction.

2.0 TRENDS

25:2.0/77
Communications Technologies in Higher Education: 22 Profiles, Ruth Weinstock, ed., 157 pp. (Communications Press, Washington, D.C.).

A series of 22 in-depth analyses of promising innovative applications of "instructional technology" in college teaching, each of these essays appeared earlier as a separate article in the periodical *Planning for Higher Education.* Largely television applications were reported from Chicago TV College, Oregon State University (Corvallis), the University of Southern California, Winthrop College (South Carolina), Florida Atlantic University (Boca Raton), and Colorado State University (Fort Collins). Other more varied applications of instructional technology processes and media systems are described for Golden West College (Orange County, California), Stephens College (Columbia, Missouri), Brigham Young University (Provo, Utah), William Rainey Harper College (Palatine, Illinois), and College at Oswego (State University of New York). Instruction through various types of computer applications are described for New York Institute of Technology and Dartmouth University.

An emphasis on instructional development with media use is described for Syracuse University (with its Center for Instructional Development), the Chicago Circle Campus of the University of Illinois, and the New Hampshire College and University Council—the latter, a 13-institution consortium of relatively small colleges (all but one of the state's accredited 4-year institutions of higher learning).

Two other experimental programs described emphasize instructional technology: one at the British Open University and selected aspects of the instructional programs; the other at a number of institutions represented at a conference on nontraditional educational practices sponsored by the University of Mid-America. Two general articles on games and simulations applications to college teaching, and telephone teaching (at University of Wisconsin—Extension) round out the factual presentations.

25:2.0/76

Media in Higher Education: The Critical Issues—Ideas, Analysis, Confrontation, Gerald R. Brong, ed., 111 pp. (Information Futures, Pullman, Wash.).

This is a collection of papers associated with a conference-seminar offered by the publisher, with the primary goal of "exposing and defining issues critical to the media field in higher education." Specific issues addressed at the conference include: Should higher education medias or educational technology programs be merged with the library? Who should direct them? What is the "fair share" of the budget for the media program? What are essential services to be provided by institutional audiovisual programs? How can college and university faculty members be induced to make more and better use of audiovisual resources? If budget cuts are required, what part of the educational technology or media program can be eliminated? Can the critical issues facing higher education be dealt with successfully, at least in part, through interventions of instructional or educational technology?

Individual papers treat aspects of the foregoing questions. Margaret Chisholm (University of Washington) defines media programs through identification and discussion of what they accomplish. Gerald Brong (Washington State University) focuses on critical questions regarding media program roles in improving teaching and learning in contrast to "providing services." Wesley Meierhenry (University of Nebraska) uses an historical approach to develop reasons why, in the past, higher education media programs have not been more successful. David Crossman (University of Pittsburgh) and Charles Vlcek (Central Washington State University) assess the weaknesses and strengths of "combined" or "integrated" library/media programs in higher education. John Davis (Washington State University) and Don Riecks (University of Washington) examine the pros and cons of centralization vs. decentralization of college and university media services. Brong also presents a paper on processes of systematic budget planning for such programs. Amo DeBernardis (Portland Community

College) offers an heuristic approach to making media programs achieve their goals.

25:2.0/72
The Fourth Revolution: Instructional Technology in Higher Education, A Report and Recommendations by the Carnegie Commission on Higher Education, 110 pp. (McGraw-Hill Book Co., New York).

A study of the effects of electronic communications and data processing on American higher education, this report summarizes experiences with the new technology through 1972, concluding that: (1) its applications in higher education have been slower in coming and have cost more than might have been anticipated; (2) applications that have been made are more often additions to, rather than replacements of, older approaches. The report predicts that, by the year 2000, "a significant portion of instruction in higher education may be carried on through informational technology—perhaps in a range of 10 to 20 percent." Various advantages of technological applications in instruction are cited for students and teachers, as well as for financing authorities.

Other predictions suggest that, in the future, instructional technology will: extend the range of adult education and generally off-campus students; enable students of smaller campuses to share instruction and resources of larger cooperating institutions; and increase the stature and significance of libraries as foci of campus learning. New professions of "multimedia technologists" are also predicted, as is making college students more aware of technological tools (computers, for example) before they begin college training. Prospective teachers (especially at the college level) will need to be trained to make optimum use of this new technology. Trade-offs will be made among college and univei .. y curriculum offerings, building requirements, staff and support costs, and other budgetary elements. The new technology will lead toward increased centralization of related services and resources on single campuses and to more cooperative efforts among institutions on regional and even national bases, including cooperative production and distribution of applicable software. Specific elements of instructional technology cited as likely to receive greatest impetus and acceptance in higher education in the future were: cable TV, video-cassettes, computer-assisted instruction, and learning kits for independent study.

The Commission recommended establishment of an independent group "to make assessments of the instructional effectiveness and cost benefits of currently available instructional technology" and to publish its findings for the guidance of higher education.

25:2.0/70
To Improve Learning: An Evaluation of Instructional Technology, Sidney G. Tickton, ed., Vol. 1: Part One: "A Report by the Commission on Instructional Technology"; Part Two: "Instructional Technology: Selected Working Papers on the State of the Art"; Vol. 2, Part Three: "Instructional Technology—Theories and General Application"; Part Four: "Instructional Technology—Practical Considerations"; Part Five: "Instructional Technology—Implications for Business and Industry"; Part Six: "Instructional Technology—Economic Evaluations." Vol. 1, 441 pp. Vol. 2, 1096 pp. (R.R. Bowker Co., New York).

A monumental review of the state of instructional technology at the beginning of 1970, this influential book attempts to identify the status and potential of the entire field—old, new, and future; mechanical and electronic; automated and cybernated—from innovations in print technology to computers; from classrooms to multimedia centers. Many discussions relate to higher education. The chief purposes of the study were "to test the belief that technology, properly supported and wisely employed, could help to meet some of the nation's most pressing educational needs...and, if justified, to recommend to the President and to the Congress specific actions to provide for the most effective possible application of technology to American education."

The Commission concludes that technology could bring about increased instructor productivity while making learning far more immediate, relevant, individual, and scientific than it is. Recommendations made are that: (1) The National Institute of Education (NIE) be established to provide educational research leadership and activity. (2) A National Institute of Instructional Technology be established. (3) Leadership be taken through that institution to search out, organize, and prepare for distribution appropriate media to improve education. (4) Demonstrations be given on the value of instructional technology generally, with a number of projects to be supported by the Institute for Instructional Technology in selected communities or institutions. (5) Support and stepped-up research be instituted to train practitioners to make better use of instructional technology. (6) A closer liaison than at present be developed between industry and education to advance the effectiveness of instruction through instructional technology.

25:2.0/68

New Media and College Teaching, James W. Brown and James W. Thornton, Jr., eds., 185 pp. (Association for Educational Communications and Technology, Washington, D.C.).

Older but still useful, this is a survey of innovative teaching uses of new media in over 600 U.S. colleges and universities. A chapter on "Instructional Functions of New Media" (by Prof. C. R. Carpenter, then of Pennsylvania State University) stresses the "systematic approach" including the following steps or procedures: (1) select content or stimulus materials; (2) organize course content in optimum sequence for learning; (3) produce, transform, and pattern the content into suitable modes and forms for student access; (4) test the effectiveness of materials prior to large-scale use; (5) present and regulate interactions of students with instructional materials and learning experiences; (6) assess or evaluate student reactions, performances, and achievements, and (7) use that information as a principal basis for revising and improving instruction, including the instructional materials used for that purpose.

Subsequent chapters of the report present case reports of college and university uses of instructional television, films, listening laboratories, audiotapes, programmed instruction, mediated self-instruction, computer-assisted instruction, special multimedia facilities, large transparencies for overhead projection, simulated experiences, and telephone techniques.

The study concludes by stressing several matters regarding planning uses of new media in higher education. First is a call for caution to avoid pitfalls of "gadgetry" with new media facilities and resources—specifically of allowing instructional ends to be compromised by *means* available to achieve them. A second conclusion is the need to recognize the importance of a concentrated effort nationally and within regions and single institutions to develop software materials for use in higher education. A third is that physical facilities required for instructional applications of new media were frequently inadequate. Faculty development programs are recommended as essential elements in efforts to modernize instruction. Finally, the study reiterates an earlier statement to the effect that the *systematic approach to instruction* offers "significant promise for the attainment of economies of effort and of instructional time in higher education."

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3.0 INSTRUCTIONAL DESIGN AND DEVELOPMENT

25:3.0/80

Evaluating Instructional Technology, Christopher K. Knapper, 163 pp. (John Wiley & Sons, Halsted Press, New York).

This book provides a review of the evaluation process in education (though not specifically in higher education) that focuses on instructional technology—defined as "any systematic approach to teaching and learning" and not necessarily as one that is machine-based. The book surveys the philosophy, criteria, methods, and problems of the evaluation of instruction, and gives specific case examples.

25:3.0/79

Lifelong Learning Through Telecommunications, Wesley C. Meierhenry, 31 pp. (Information Futures, Pullman, Wash.).

This publication explores possible uses of telecommunications in providing wide-ranging lifelong learning opportunities, chiefly in the context of offerings of institutions of higher learning.

25:3.0/77

Instructional Design: A Plan for Unit and Course Development, 2nd ed., Jerrold E. Kemp, 162 pp. (Fearon Publishers, Belmont, Calif.).

This book presents in succinct yet understandable form the significant elements of instructional design as applied, especially, but not exclusively, to courses in higher education institutions. The book assigns crucial importance to the following components of the instructional design process: goals, topics, and general purposes; learner characteristics; learning objectives; subject content; pre-assessment of learner status with respect to objectives and content; teaching/learning activities and resources; support services; and evaluation. The third part of the book discusses the mechanics of planning and the desired interrelationships of individuals involved.

25:3.0/75-1

Instructional Development for Individualized Learning in Higher Education, Robert M. Diamond et al., 189 pp. (Educational Technology Publications, Englewood Cliffs, N.J.).

This useful handbook outlines those specific procedures necessary to achieve successful academic innovations in higher education. It provides first a frame of reference for "individualization," identified as the essence of the recommended curriculum design process and recognized as comprised of flexible time frames. The book

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also presents varied opportunities for: student diagnosis, remediation, and exemption; optional content study; alternate forms and flexible times for the evaluation of students; locations in which instruction and learning experiences are conducted; and alternate forms of instruction, including independent learning materials and instructional modes. Additional chapters deal with ways to develop a climate and an organization plan for facilitating academic change; generating and selecting projects to effect change; and identifying objectives and structuring instructional sequences for them. The book also includes a step-by-step procedure for designing, implementing, revising, selecting media for, phasing out, and evaluating academic innovation projects. Other topics include determination of cost-effectiveness and accountability. A final chapter deals with "lessons learned"—problems of implementing academic innovations.

Included in the appendix are helpful materials dealing with copyrighting policies and sharing royalties on innovative college- and university-developed programs and resources, as well as an analysis of requirements and uses of various types of independent learning facilities.

25:3.0/75-2

Open Learning: Systems and Problems in Post-secondary Education, Norman MacKenzie, Richard Postgate, and J. Scupham. (UNESCO, Paris).

This publication is an outgrowth of a study at the University of Sussex (England) of various "open learning" systems in operation in postsecondary education. Included are 17 case studies and reports of student needs, choices of media, curriculum design, cost effectiveness, and evaluation of educational systems that allow opportunities for part-time "study at a distance" (off the campus) and that utilize various media resources (many technological in nature) and techniques.

25:3.0/74-1

Principles of Instructional Design, Robert M. Gagné and Leslie J. Briggs, 270 pp. (Holt, Rinehart, and Winston, New York).

A manual of the theoretical principles underlying systematic curriculum design, along with procedures required to accomplish it, this book includes arrangements of "topics, courses, and lessons of instruction, in a variety of subjects, based upon principles of human learning and performance analysis."

This book explains clearly basic design considerations pertaining to: (1) outcomes of instruction, (2) intellectual learning skills and

strategies, and (3) types and varieties of learning—information, attitudes, motor skills. Under the heading of "designing instruction" consideration is given to: (1) defining performance objectives; (2) designing instructional sequences, (3) identifying instructional events, (4) designing individual lessons, and (5) assessing student performance. A final section of the book deals with "instructional systems" under such categories as individualized instruction, designing instructional systems, and evaluating instruction.

25:3.0/74-2

The Keller Plan Handbook: Essays on a Personalized System of Instruction, Fred S. Keller and J. Gilmour Sherman, 99 pp. (W. A. Benjamin, Reading, Mass.).

This series of co-authored papers is intended to inform individuals about characteristics and procedures used in the "personal system of instruction (PSI)." Also known as the Keller Plan, it has within the past 10 to 15 years gained considerable standing as an improved method of teaching, especially in higher education. Various chapters deal with the history of PSI and its characteristics as a basic system—its logistics, reinforcement theory, and current status in the United States and Brazil. Finally, the book cautions about use of the system for those who may otherwise expect too much of it.

25:3.0/74-3

Modular Instruction: A Guide to the Design, Selection, Utilization, and Evaluation of Modular Materials, James D. Russell, 142 pp. (Burgess Publishing Co., Min... apolis, Minn.).

This somewhat unique approach to learning recognizes and accommodates individual differences and learning abilities of students. The book is addressed to classroom teachers and gives considerable emphasis to the development, testing, and use of so-called "modules"—small units of learning. It discusses the fundamentals of modular instruction; selection and design of modules; specification of objectives and construction of criterion items; and analysis of learner characteristics and specification of entry behaviors. The book also looks at ways to sequence instruction and select media for it, to handle student tryouts of modules, and to evaluate, utilize, and implement modular instruction generally.

25:3.0/72

The Audio-Tutorial Approach to Learning Through Independent Study and Integrated Experiences, S. N. Postlethwait, J. Novak, and H. T. Murray, Jr., 184 pp. (Burgess Publishing Co., Minneapolis, Minn.).

This is a detailed analysis of the unique contributions of and ways to organize and manage audio-tutorial instructional programs, first employed on a broad scale in botany courses at Purdue University under the direction of Dr. S. N. Postlethwait. This book provides essential information for those interested in restructuring courses generally to take advantage of the audio-tutorial approach, with its independent study sessions (ISS), general assembly sessions (GSS), integrated quiz sessions (IQS), and other activities. Specific requirements regarding physical facilities are included, as are details of program operation such as the deployment of personnel and the preparation of tapes, films, and printed materials. Suggestions for the development of various types of mini-courses involving a modular approach to learning and the preparation of materials used with them are also included.

4.0 COMPUTERIZATION AND AUTOMATION OF IN-STRUCTION

25:4.0/80

Micro-Computers in Education: An Instructional Revolution, Franz J. Frederick, 152 pp. (Association for Educational Communications and Technology, Washington, D.C.).

A straightforward, uncomplicated analysis of computers in education and of ways that they are changing traditional processes of teaching and learning, this new publication discusses microcomputer languages, computer operating systems, accessories available (including voice synthesizers and robots), relative costs of various microcomputer systems, and instructional applications. Also included are several valuable resource lists of computer-related magazines and journals, equipment manufacturers, and computer language suppliers.

25:4.0/79-1

Computers in the Teaching Process, Nicholas John Rusby, 123 pp. (John Wiley & Sons, Halsted Press, New York).

The author's previous work at the Imperial College Computer Center, London, which resulted in a study titled "Computers in Education As a Resource," provides the basis for this book. Its prin-

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cipal thesis is that there are some educational problems for which the computer is an appropriate solution, but there are others that are not. This is elaborated upon through various types of examples. Special attention is given to uses of computers in tutoring, as a source of information in simulations, as a means of testing, and as a vehicle for evaluating instruction/learning results.

25:4.0/79-2

Cost-Effectiveness of Computer-Based Instruction in Military Training, Jesse Orlansky and Joseph String. Prepared for Office of the Under Secretary of Defense for Research and Engineering, 200 pp. (Institute for Defense Analyses, The Pentagon, Washington, D.C.).

This book compares and evaluates costs and effectiveness of computer-based instruction for military training, using data from approximately 30 studies conducted between 1968 and 1979. Four methods of instruction were used: conventional instruction, employing group-paced lectures and discussions; individual instruction, self-paced, offered without computers; computer-assisted instruction (CAI), through which computer-stored information, tests, and guides were retrieved and used by students via interactive terminals; and computer-managed instruction (CMI), through which students were provided self-paced instructional materials and tests away from the computer, but with the computer scoring tests and guiding the students.

Results showed that CAI and CMI managed to save about 30 percent (median) of the time students required to complete identical courses offered conventionally. CAI and CMI were not compared directly. Attrition of students in courses appeared to increase in both computer methods, when compared with conventional instruction, although this study appeared not to have been controlled fully. Students appear to prefer CAI or CMI to conventional instruction, but instructor attitudes toward the methods were considerably less favorable. Individualized instruction without computers was also found to save student time. Direct comparison of costs of the various methods was judged to be impossible because of the incompleteness of the data found.

25:4.0/78

Evaluation of the TICCIT Computer-Assisted Instructional System in the Community College, Donald L. Alderman, 485 pp. (Educational Testing Service, Princeton, N.J.).

This work reports a National Science Foundation-sponsored evaluation of demonstration uses of the MITRE Corporation's TIC-

CIT (Time-shared, Interactive. Computer-Controlled Information Television) system. The population studied was 5,000 students enrolled in some 200 course sections in two community colleges. The evaluation was conducted and reported by Educational Testing Service (ETS) of Princeton, New Jersey. The TICCIT system is capable of providing individualized instructional opportunities simultaneously for as many as 125 students. It combines elements of computer-assisted instruction, computer-managed instruction, and dial-access video systems.

· Results showed: (1) The TICCIT program had a "detrimental effect" on the likelihood that a student would complete the requirement within an academic term. (2) Student groups completing a TICCIT mathematics course had higher post-test scores (five out of six instances) than comparable groups using the lecture system. (3) The TICCIT program did not alleviate students' needs for assistance by individual instructors. (4) Computer-assisted instruction used alone appears not to guarantee favorable student attitudes toward the mode. (5) Students in TICCIT classes spent most of their course time working on the TICCIT system; students in lecture-discussion classes spent most time on homework assignments. (6) The TICCIT program allowed teachers to spend considerably less time on preparatory work and more time working with individual students. (7) Faculty were undecided about whether the TICCIT program had constituted a significant development in teaching/learning.

25:4.0/77

Computers and Communication: Implications for Education, Robert J. Seidel and Martin Rubin, eds., 409 pp. (Academic Press, New York.).

This study presents the results of a 3-day invitational conference supported by a grant awarded to Human Resources Research Organization (HumRRO) by the National Science Foundation. Thirty-eight experts present information related to: key developments in computer and communications technology expected to produce a major impact on education by 1985; ideas for educational programs, priorities, and projects to capitalize on new educational technologies; identifying legal, political, economic, and social issues occurring as a result of using these new technologies; and providing computer and communication industries with feedback from educators regarding potential markets and applications.

25:4.0/75

Computers and the Learning Process in Higher Education, John Fralick Rockart and Michael S. Scott Morton, A Report Prepared for the Carnegie Commission on Higher Education, 356 pp. (McGraw-Hill Book Co., New York).

A review of fact and opinion regarding the future of computers in instruction in higher education, this report is concerned chiefly with three questions: (1) Is the instructional use of computers cost-effective? (2) In what specific ways will the computer affect the learning process in higher education? and (3) How should faculty members approach the selection of computer-based instruction types for particular instructional purposes and programs?

The authors arrive at several conclusions regarding educational technology in higher education. They deduce that we are now engaged in an upswing of computer technology, exemplified in part by reduced costs of equipment and software service and the coming of the mini-computer. Improved use of television as a teaching/learning tool is occurring, chiefly because of improved capabilities for "live" (two-way, feedback-type) operations. Improved access to university libraries is obtained increasingly through various microfiche-like non-paper means.

The authors' model of the learning process leads them to conclude that no single technology should be expected to serve the learner in all stages of learning—or to and through all types of materials to be learned—and that, therefore, the uniquely advantageous qualities of each should be studied and evaluated. They also conclude that in the past too much attention had been given to Skinnerian-type computer-assisted instruction. An area of considerable promise in the application of technology to higher education is seen for various types of "enrichment activities" (gaming, problem solving, simulating); the authors foresee these activities as enabling students to integrate and test knowledge gained. A corollary finding, in this respect, is that "the real impact of the new technology will for the most part be adding to, rather than replacing, current learning mechanisms."

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5.0 STANDARDS AND GUIDELINES

25:5.0/79

Evaluative Checklist: An Instrument for Self-Evaluating an Educational Media Program in Colleges and Universities, 3rd ed., W. R. Fulton, Kenneth L. King, Fred A. Teague, and Roger N. Tipling, 20 pp. (Association for Educational Communications and Technology, Washington, D.C.).

This work offers a self-evaluative checklist designed for higher education institutions. The checklist does not require extensive inventory of all program resource items, and permits comparisons to determine strengths and weaknesses of program elements. It is based on research that characterizes six elements that should be present in sufficient quality and quantity: administrators and teachers committed to using educational media; educational media administered as an integral part of curriculum and instruction; an accessible educational media center; good physical facilities; adequate financing; and an adequate, qualified staff.

25:5.0/77-1

College Learning Resources Programs, Association for Educational Communications and Technology, 80 pp. (AECT, Washington, D.C.).

Developed over a period of years, this is a set of recommendations on how to plan learning resources services and functions in 4-year colleges and universities by a special task force of the Association for Educational Communications and Technology (AECT). This study outlines reasons for and guidelines to achieving improved organization of technological communications services (with alternative administrative patterns) in institutions of higher education. Additional special program facets given attention include: (a) instructional development; (b) diffusion/adoption of educational innovations, particularly those of a technological nature; (c) local production of media software; (d) telecommunications facilities and services; utilization of technological media, facilities, and equipment; (e) design of suitable required facilities; and (f) approaches to the budgeting of learning resources programs.

25:5.0/77-2

The Economics of New Educational Media: Present Status of Research and Trends, Educational Methods and Techniques, 200 pp. (United Nations Educational, Scientific, and Cultural Organization, Paris).

Prepared with the assistance of the International Council for Educational Media (ICEM), this booklet describes the current status of and processes used to determine costs and evaluate results of using various new media (radio, television, programmed instruction, learning resource centers, and others) in education. The findings came, first, from an analysis of some 200 studies conducted in various parts of the world. Extensive bibliographies and a number of abstracts are provided, as are detailed case studies analyzing costs for Mexico's Radioprimeria, Nepalese instructional radio, El Salvador's ITV system, Mexico's Telesecundaria, programmed instruction projects in Central Africa and France, and a group of West German audiovisual centers.

25:5.0/77-3

Criteria for Planning the University Learning Resources Center, Irving R. Merrill and Harold A. Drob, 117 pp. (Association for Educational Communications and Technology, Washington, D.C.).

A study conducted for the University of California to identify essential criteria for planning university learning resource centers in 1970, this book cites the advantages of learning resource centers in higher education, drawing evidence from published studies and reports. Another chapter deals with administrative organization and the recommended status of learning resource centers in universities. Criteria for staff and space requirements are provided with specific suggestions on how they apply in actual university situations. Planning and administering the budget of the university learning resource center are reviewed, along with ways and means of encouraging faculty involvement in such planning. Special provisions and pros and cons of "recharging" (i.e., of charging departmental budgets for services rendered, rather than of paying for them from the central learning resource center budget) also are reviewed. The study concludes that: (1) the director of learning resources should report to the chief academic officer, (2) he or she should be a professional member of the faculty, qualified according to high standards of academic preparation and experience, (3) at least one consultant in instructional development should be employed full-time on the learning resources center staff, (4) the number of staff and of square feet devoted to the

learning resource center should be determined through use of procedures and standards developed in the study, and (5) the budget of the learning resources center should be developed according to a programming-planning-budgeting-evaluation (PPBE) or equivalent system. Other recommendations and areas seriously needing appropriate criteria are also identified.

25:5.0/75-1
The Learning Center: A Sphere for Nontraditional Approaches to Education, Gary Peterson, 146 pp. (Shoe String Press, Hamden, Conn.).

This book outlines plans and procedures college and university administrators and faculty should implement in establishing and maintaining a "learning center" which provides an innovative combination of four academic-related services: (1) a multimedia library, (2) audiovisual services, (3) certain nontraditional services, and (4) instructional development assistance and leadership. This book analyzes how these elements relate and interact and build synergistically upon each other, all with special attention to providing for individual differences and traits in faculty, students, and administrators involved. Special attention is also given to processes involved in the management of academic change.

25:5.0/75-2
Improving Instructional Productivity in Higher Education, Shelley A. Harrison and Lawrence M. Stolurow, eds., State University of New York at Stony Brook, 272 pp. (Educational Technology Publications, Englewood Cliffs, N.J.).

A collection of essays from a Symposium on Instructional Productivity, this volume explores a "systems approach to" and behavioral objective of technological systems. The Symposium, conducted in 1973 by the Office of Education and the National Institute of Education, focused on the problems created by the increasing demands of a diverse group of students for a varied educational experience. Technological systems, termed the "fourth revolution" in education by the Carnegie Commission on Higher Education, has the potential to meet the needs of these students if certain challenges can be met by planners.

These challenges include diminishing availability of fiscal resources, an increasingly diverse student body, and the need to tailor programs to new students.

The Symposium addressed these challenges by segmenting the presentation into three sections: Group and Bounded Learning En-

vironments; Individualized, Bounded Learning Environments; and Personalized, Open Learning Environments. The presentations include lively, provocative discussion of many programs being implemented on campuses today.

Of particular interest to the plar :er will be the keynote addresses, notably: "Learning, Technology, and the Potential Increase of Productivity in Higher Education" by Robert Filip. He discusses quality and quantity of productivity that higher education should seek in the context of goals.

25:5.0/72

Guidelines for Two-Year College Learning Resources Programs, Association for Educational Communications and Technology, 12 pp. (Association for Educational Communications and Technology; American Library Association of College and Research Libraries; and American Association of Community and Junior Colleges, Washington, D.C.).

This booklet contains qualitative guidelines prepared jointly by three nationally-recognized organizations, guidelines which describe adequate 2-year college learning resources and services. The booklet includes recommendations that: (1) the document be used as a criterion base for information, self-study, and planning but not as a base for minimal standards; (2) applications of standards be governed by the purposes and objectives of each college using them; and (3) administrative organization patterns for learning resources programs grow out of the milieu of each institution rather than being superimposed from without.

This booklet also suggests that: (1) each college provide for a learning resources program; (2) such programs be guided by a specific set of purposes and objectives; (3) they provide a variety of services as integral parts of the learning process; (4) such programs cooperate in the development of area, regional, and state networks, consortia, or systems. With regard to organization and administration, the guidelines recommend that: (1) responsibilities and functions of the learning resources unit be clearly spelled out; (2) Learning Resource Center (LRC) personnel be involved in all areas and levels of academic planning; (3) advisory committees aid in evaluating and extending LRC services; and (4) administrative and budget planning authority be clearly defined and cooperative relationships of units within the same districts be maintained.

With respect to budgeting, the guidelines recommend that: (1) the LRC program be regarded as an element of program planning; (2) the LRC budget reflect campus-wide instructional materials needs;

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(3) to the extent possible, purchases of materials be exempted from restrictive annual bidding procedures and be made, instead, throughout the year; (4) equipment purchases be made on a systems approach basis; and (5) cooperative purchasing be employed where possible.

Other instructional system components identified in the guidelines included those of: (1) staff—with emphasis upon faculty status, benefits, and obligations; (2) facilities—with attention to the appropriate cooperation of LRC specialists in their design and management; (3) instructional equipment; and (4) instructional materials—including those purchased from commercial sources and those produced locally.

25:5.0/64

Learning Resources for Colleges and Universities, Fred F. Harcleroad, Principal Investigator, 146 pp. (California State University, Hayward).

Although completed some years ago, this study is still valuable for individuals planning higher education library/educational media programs. The report was designed for a proposed library-audiovisual facility for California State University, Hayward. Included first are basic criteria for planning learning centers, with discussions of (a) methods of instruction, (b) students and their use of learning resource facilities, (c) faculty needs and interests, and (d) other planning factors, such as intended uses by the community. Various organizational plans are suggested. A second chapter deals with "audiovisual services" in relation to (a) their basic functions, (b) general structure, (c) procurement, production, and distribution services, and (d) combined facilities.

An evaluation and independent study center arrangement is treated in a third chapter, with stress upon measuring learning, especially in connection with independent study. Chapter IV presents recommendations regarding various materials production services, including equipment and rooms and other physical facilities required. Chapter V presents the role of library services in higher education institutions. Attention is given to library automation procedures and their implications, modular uses of study carrels, special collections, and various special facilities. A final chapter presents opinions regarding eventual roles of digital computers in a college or university learning resources center, including those of simulation. Two appendices deal with the recommended relationships of "library" and "audiovisual" services in a college or university and details of recommended space requirements for the facility envisioned for California State University at Hayward.

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6.0 DATA SOURCES

25:6.0/77

Educational Technology: Definition and Glossary of Terms,
Vol. 1, AECT Task Force on Definition and Terminology, 365
pp. (Association for Educational Communications and
Technology, Washington, D.C.).

This book defines all aspects of instructional and educational
technology. It defines the field from several standpoints—theoretical,
professional, and historical. The intellectual base of the field is also
examined; practical applications of educational technology and their
effects upon institutional organizational structures are discussed; and
desirable characteristics of certification training criteria and programs
are identified. Concluding chapters deal with the role of the profes-
sional association, the societal context of the profession, and an
evaluation of the field and the role of the professional in educational
technology. The second half of the book presents detailed definitions
of terms applicable to theory, research, design, production, evalua-
tion-selection, materials, devices, and techniques associated with the
field.

25:6.0/75

**Educational Technology: A Handbook of Standard Ter-
minology and a Guide for Recording and Reporting Informa-
tion About Educational Technology: Handbook X,** Ivan N.
Seibert, 276 pp. (U.S. Department of Health, Education, and
Welfare, Office of Education, Washington, D.C.).

This National Center for Education Statistics (NCES) publica-
tion reflects an effort to identify and to codify taxonomically con-
cepts, terminology, and definitions, and to suggest units of measure
related to educational/instructional technology. It is designed to help
persons involved in gathering, compiling, exchanging, and inter-
preting data relating to the application of technology to instruction.
These activities are aided by use of the many standardized terms in-
cluded in the handbook.

Chapters deal with: defining educational technology; classifica-
tion of educational technology terms; and definitions and units of
measure for classified terms.

25:6.0/A

Educational Media Yearbook, James W. Brown, ed., 500 pp. (Libraries Unlimited, Inc., Littleton, Colo.).

An annual state-of-the-art review of educational technology, this yearbook provides information regarding media developments in colleges and universities, research and development centers, government agencies, and foundations. It also contains field reports from several hundred organizations, associations, and nonprofit foundations, and discusses trends for the educational media industry. It includes detailed reviews of master's and doctoral programs for instructional technology, library and information science, and broadcast communications in U.S. institutions of higher education. Of special interest are the several "mediagraphies" that list reference tools, media-related periodicals and newsletters, media about media, data bases, and other aids.

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Faculty

Kenneth P. Mortimer and Everett C. Ladd
assisted by Stephen M. Bragg
and Sally Daniels

The old professorial boast, "*We* are the university," can
surely be challenged, but it rests on so fundamental a concept
that no bibliography on higher education planning can ignore
the central attributes of the professoriate.

Four broad areas of concern for faculty are presented in
this bibliography. First, certain characteristics of faculty must
be understood to assess their motivation and capacity to per-
form effectively. Second, the current market—the supply and
demand and some of the more important contemporary factors
affecting it—must be understood to ensure that institutions of
higher education are adequately staffed. Third, the relatively
stable staffing patterns developing in the eighties will require a
renewed attention to quality of faculty performance,
necessitating, perhaps, revised methods and programs for
evaluation, development, and motivation. Last, the faculty role
in governing the institution is crucial to understanding academic
organization, because their role in governance often conflicts
with their employee status.

Characteristics. We begin the topic of faculty with a set of
materials chosen to provide a description of faculty as in-

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dividuals and as a group; as part of the process and institution of higher education; and as part of the larger social and political system. Included is a collection of surveys—and books based in part on these surveys—that provide information on faculty. opinion and experience, as well as valuable demographic data.

Staffing. This section brings together writings covering the issues of most concern to those involved with staffing institutions of higher education—the assemblage and maintenance of a faculty. In addition to the more obvious question of the supply and demand of appropriately trained faculty and other market issues, topics include reductions and retrenchments, changing tenure and retirement policies, and discrimination and affirmative action. Providing for the entrance of new talent and the departure of existing personnel is a problem whose solution is dependent on understanding each of these issues.

Performance. This section deals with the quality of faculty performance—both in teaching and in research and other creative work. The section is divided into two parts; the first deals with faculty evaluation and reward, the latter with programs and techniques for improving performance and fostering professional development.

Governance. This section presents the role of faculty in governing academic institutions, their participation in the decisionmaking process, the law as it pertains to faculty, and the impact of faculty unionization on governance matters.

TOPIC ORGANIZATION

26: Faculty

    1.0 Characteristics

    2.0 Staffing

        2.1 Supply and Demand

        2.2 Reductions and Retrenchments

        2.3 Tenure

        2.4 Retirement

        2.5 Discrimination and Affirmative Action

    3.0 Performance

        3.1 Assessment and Rewards

        3.2 Professional Development

4.0 Governance

    4.1 Participation in Decisionmaking
    4.2 Legal Issues
    4.3 Impact of Unionization

1.0 CHARACTERISTICS

26:1.0/S-1

Ladd-Lipset 1977 Survey of the American Professoriate, Everett Carll Ladd, Jr., and Seymour Martin Lipset, (Social Science Data Center, University of Connecticut, Storrs).

Ladd-Lipset 1975 Survey of the American Professoriate, Everett Carll Ladd, Jr., and Seymour Martin Lipset, (Social Science Data Center, University of Connecticut, Storrs).

26:1.0/S-2

1975 Carnegie Commission National Surveys of Higher Education: Faculty, Carnegie Council on Policy Studies in Higher Education, (Survey Research Center, University of California, Berkeley).

1969 Carnegie Commission National Surveys of Higher Education: Faculty, Carnegie Council on Policy Studies in Higher Education, (Survey Research Center, University of California, Berkeley).

26:1.0/S-3

1972 Faculty Study, American Council on Education, (ACE, Washington, D.C.).

    A comprehensive collection of surveys of faculty opinion and behavior has been conducted in the United States since 1969, covering a period during which higher education has seen many massive changes from the political turbulence of the late 1960's to the present period of retrenchment and declining enrollments. The five faculty surveys mentioned here were administered during this period and contain a wealth of information, much of which has not yet been explored. A wide range of both university-related and external national concerns comprise all but one of the studies, and all include valuable demographic data. The latter investigation contains data strictly on higher education.

The most recent study, the Ladd-Lipset 1977 Survey of the
American Professoriate, was initiated in order to update and expand
upon a 1975 survey conducted by the same investigators. The 1977
study explores professorial opinions and behavior in areas relating to
the general status of higher education, the problems confronting pro-
fessors and their performance; financial support of institutions of
higher education and Federal funding of research and development;
professional standards and modes of behavior in academe; collective
representation of faculty; the attractiveness of the "early retirement"
option; national politics and policy; norms of science and scholarship;
and international scholarly or scientific exchange.

A significant amount of biographical and career-related data is
also included. Age, sex, race, religion, and education data identify the
composition of the professorial stratum. Figures on time spent in
various professional activities—research, teaching, consulting—is
available, along with other information on professional experiences.

The 1975 Ladd-Lipset survey, though more limited in its range
of issues, covers some areas of inquiry in more detail than the 1977
survey, particularly voting behavior and involvement of faculty in
public affairs in the various levels of government. The study also in-
cludes a number of topics which do not appear in the 1977 survey
relating to both the university and the nation. Overall, this investiga-
tion has similar background and career data as the 1977.

In addition to the Ladd-Lipset surveys, two massive studies of
faculty were conducted by the Carnegie Council on Policy Studies in
Higher Education—one in 1969, and a follow-up in 1975 which ex-
tended the boundaries of the first inquiry. A significant amount of
data from the 1969 survey encompasses the response of faculty to the
political activism of college students during the late 1960's. Faculty
assessments of the quality and structure of higher education, as well as
their position and performance within the academic institution, pro-
vide important information along with data on their teaching and
research responsibilities. Levels of involvement in department and in-
stitutional affairs are included. Descriptive data on professional ac-
tivities of faculty members, on their backgrounds, and on their own
status within the profession are plentiful. Other related topics, some
mentioned in the discussion of the Ladd-Lipset surveys, also are
covered.

The 1975 Carnegie Council survey encompasses many of the
same areas, providing opportunity for comparisons over time.
Teaching and research orientations, time spent in various professional
activities, assessments of graduate and undergraduate education,
views on the academic reward structure, governance and affirmative
action—all are only samples of what is contained in this study. The

descriptive and attitudinal data are accompanied by background and demographic information.

In 1972, the American Council on Education conducted a large-scale survey which focused on professional characteristics of faculty. Job-related data comprise the bulk of the survey, and a section is included on faculty attitudes on a number of university-related matters. Most of the data provide comparability with the Carnegie Council and Ladd-Lipset surveys. Questions are included on research funding, personal and institutional goals, time spent in various professional activities, background job experiences, productivity, satisfaction with academic life, salary and tenure. Traditional demographic data are also included.

Together, or in part, these five studies represent an important resource for planners in their attempt to assess the future needs of faculty in higher education. Information can be found here which cannot be found elsewhere, and the five studies allow for a time comparison which can be of importance. The descriptive and opinion data each have their own value and can be useful in a number of planning areas. Results from the 1975 and 1977 Ladd-Lipset surveys have been published in the *Chronicle of Higher Education* (a series appearing from September 1975 to May 1976) and more surveys have been written, some of which can be identified by the Carnegie Council on Policy Studies in Higher Education. The same applies to the 1972 American Council on Education survey. At this time, no known publications have appeared based on the 1975 Carnegie Council survey. All of these studies are on tape and available for computer analysis. Access information regarding the datasets can be obtained by contacting ACE, the Carnegie Council, or the Social Science Data Center, University of Connecticut.

26:1.0/A

Report on the Economic Status of the Profession, 1977-1978, American Association of University Professors, 74 pp. (AAUP, Washington, D.C.).

This report is the latest in a series begun before 1960. Some earlier data are available and may be requested by contacting AAUP directly. An aggregate-data report in printed form has been published annually since 1960. Since the annual report was first published, there have been two format changes. First, since 1970 the average salary for institutions has been included by rank, and second, since 1974-75 data by sex have been included. AAUP has also made the reports available on computer tape for a small fee since 1970.

An annual report consists of two parts. The first is a brief analysis and explanation of the tables which make up the second part. The analysis concentrates on the economic situation within higher education in the current year, in this case 1977-78. This section also includes observations of major changes, notable consistencies, and trends that will need to be considered for the future. The data section consists of tables which include information on the aggregate United States, individual institutions, projections, and faculty salaries and tenure. A variety of different variables are used to provide comparative results of the data, which were collected through institutional surveys.

This series is important for two major reasons: (1) collectively, it provides a substantial amount of important data, and (2) the annual report provides the most recent data available.

26:1.0/76-1

Salaries and Tenure of Instructional Faculty in Institutions of Higher Education 1974-75, National Center for Education Statistics, 271 pp. (U.S. Government Printing Office, Washington, D.C.).

Detailed tabulations compiled from the 1974 NCES survey of Salaries and Tenure of Full-time Instructional Faculty are presented in this report. The salary data updates information collected earlier and published in *Higher Education Salaries and Fringe Benefits, 1971-72* and *1972-73.* The 1974 survey data includes breakdowns on faculty tenure by sex. More than 97 percent of the institutions in the higher education universe, as defined by the U.S. Department of Health, Education and Welfare Office of Education, responded to the survey. Most data for non-responding institutions (both in 1972 and 1974) were drawn from information reported by a similar institution. Similarity was judged on the basis of institutional control, institutional level, sex of student body, highest degree offered by the institution, type of program, and total enrollment in Fall 1972 and 1974.

The basic tables are divided into two sections. Section I contains tables in which all branches of a reporting multicampus institution are treated as a single unit and classified by the highest level of any of the separate branches. In Section II a different definition of "reporting unit" is used, one in which each branch of a multicampus institution is treated as a separate unit like all single campus institutions and aggregated according to each of their respective classifications. Both sections contain the same tables and breakdowns. There are 10 tables per section. These tables cover various aspects of tenure, rank, salaries, and type of institution. Variables like sex, institutional control,

geographic region, and length of contract are used to further break down the data.

This report provides a quantity of useful recent data. It covers many pertinent areas in the regions of salary, tenure, and the institution. As a final point, some earlier data are available, but comparability is limited since this series has never been annual and lacks consistency in definitions.

26:1.0/76-2

The Divided Academy: Professors and Politics, Everett Carll Ladd, Jr., and Seymour Martin Lipset, 351 pp. (W.W. Norton, New York).

This book is based on data collected from the massive 1969 Commission on Higher Education Faculty Survey and two follow-up studies on academe conducted by Ladd and Lipset in 1972.

The authors propose that faculty members form a distinct and influential group in American society and, as such, their social and political views deserve special attention. The book is divided into three major sections, each of which deals with a different aspect of this study. The first part views faculty opinions from the perspective of historical change, from the period before World War II, and as a special segment of the nation. The conclusion is that professors tend toward a more ideologically liberal view on political and social questions than the mass public. The second part discusses "The Divided Academy"—the partitioning that occurs *within* the academic profession while, as a distinct ideological group when compared to the nation, "they show a remarkable consistency of ideas across a wide range of issues." The authors believe that these divisions are predictable and pay special attention to the "structural determinants of professorial opinion." Part III turns to specific issues: campus protests in the 1960's, the presidential election of 1972, and the effects of unionism on faculty. These points of ideological conflict are used to develop observations about academic life and its position in American society.

Ladd and Lipset believe that faculty are an important part of the intellectual stratum of society and, therefore, of society as a whole. The faculty, with their essentially liberal outlook and their opportunity to easily convey their ideas to many people, have been and will continue to be a principal force in promoting social change. This book offers a valuable insight, especially to those outside of academia, into faculty ideology.

26;1.0/75

Teachers and Students: Aspects of American Higher Education,
Martin Trow, ed., 419 pp. (McGraw-Hill Book Co., New
York).

This book contains eight reports. Each of these evolved from the
information received by the "National Survey of Faculty and Student
Opinion" carried out between 1968 and 1972. The survey was a joint
effort undertaken by the Carnegie Commission and the American
Council on Education. The authors were all members of the research
team which drafted and carried out the survey. Copies of the survey
questionnaires and a technical report on the survey are included in two
appendices.

Each of the eight reports deals with a specific topic that provides
insight into the life and motivation of a faculty or student group. The
first report contains the general findings of the survey about
"Students and Teachers." The population discussed is divided into
three subgroups: faculty, graduate students, and undergraduate
students. This report also explores institutional character. The second
report considers the question of research versus teaching. The main
emphasis of this report is on research—its orientation, activity,
rewards, and how it compares with other activities, notably teaching.
The third report considers "Religious Involvement and Scholarly Pro-
ductivity." This is explored from the perspective of institutional varia-
tions, academic discipline, scholarship, and personal values. The
fourth and fifth reports concentrate on students under such topics as
"Black Students in Higher Education" and "Undergraduates in
Sociology." The last report also discusses the student—in this case
through an analysis of the "Peer Theory" of student behavior. The
sixth report discusses the position of women in academia, concen-
trating on the reward structure and its fairness. The seventh report
deals with married faculty. It approaches the topic both from the
perspective of attaining educational goals and professional advance-
ment.

Based on a massive collection of data, this book provides a com-
prehensive examination of some specific traits of faculty and students
as well as a close-up observation of faculty goals and values as seen by
the faculty itself. An understanding of this diverse population which
comprises higher education—faculty and students specifically—will
be essential to the successful planner.

2.0 STAFFING

26:2.0/77

Conflicting Pressures in Postsecondary Education, Robert H. Fenske, pp. 171-212, (Association for Institutional Research, Tallahassee, Fla.).

This collection of papers, selected for the 1976 Annual Forum of the Association for Institutional Research at Los Angeles, covers a wide variety of topics. Several are of special interest to the planner for faculty in higher education.

J. Stanley Laughlin and Vernon A. Lestrud, "Faculty Load and Faculty Activity Analysis: Who Considers the Individual Faculty Member?" According to the authors, "The intent of this paper was to present conflicts between the perceptions of faculty members and the other publics (that influence higher education) regarding fund alloca- tion and activities that faculty view as their responsibility." The authors include a number of suggestions for reducing the pressures which result from this type of analysis.

Donald P. Hoyt and Michael O. Stewart, "Faculty Rewards, Faculty Accomplishments, and Sex Discrimination." This report presents the findings of a study on the relationships of faculty ac- complishments and faculty rewards in the merit-based salary increase system of state colleges in Kansas, and of the allegation of sex dis- crimination in the granting of these rewards. While the sample size (161 respondents, only 24 of whom were female) limits the usefulness of the data presented in this report, the study may prove useful as a model for further research in this area.

Gerald H. Kramer and John W. Creswall, "Four-Year State Colleges: The Scope of Collective Bargaining." For 4-year state col- leges during the 1973-74 academic year, the "scope" (defined as the range of topics covered) of written agreements between institutions and their bargaining agents is analyzed. The analysis controls for such factors as (1) the particular bargaining agent (American Association of University Professors (AAUP), National Education Association (NEA), or New York State United Teachers (NYSUT)); (2) the com- position of the bargaining unit—distinguishing between units com- prised of only instructional staff and those including professional support staff and instructional staff; (3) the type of state laws govern- ing collective bargaining; (4) the provision for neutral third-party in- tervention; and (5) the inclusion or exclusion of binding arbitration clauses in the written agreement.

D. R. Coleman and J. R. Bolte, "A Theoretical Approach for Internal Allocation of Academic Personnel Resources." The purposes of this study were (1) "to develop a theoretical model for the alloca-

tion of instructional faculty resources independent of discipline";
(2) "to develop student credit hour (SCH) productivity factors by
discipline"; (3) "to contrast the number of faculty members allocated
by the theoretical model and the traditional model." The authors
describe the development and analysis of this model at Florida
Technological University and believe that "the procedure provides an
equitable, objective method for assessing faculty needs and that it is
readily adaptable to other institutions regardless of size."

Robert G. Simerly, "Improving Institutional Accountability
Through Faculty Development: Reacting to Conflicting Pressures in
Post-secondary Education." This paper briefly discusses many of the
topics to be considered in planning for faculty development. Topics
include (1) the pressure of being equalitarian, (2) the role of the in-
stitutional researcher, (3) the "publish or perish" pressure, (4) the
"faculty work world," (5) the faculty development movement,
(6) faculty development as individual freedom—the laissez-faire ap-
proach, (7) faculty development as introduction and initiation, (8) fac-
ulty development as career development, (9) faculty development as
curriculum reform, (10) faculty development as concept and con-
struct, and (11) faculty development as organizational metagoal. In
addition to a brief description of each of these topics, the author
refers the reader to numerous other writings for further study of the
particular topics, providing a valuable reference collection.

John R. Bolte and D. R. Coleman, "An Analysis of Philoso-
phies Concerning Faculty Promotion and Related Implications for the
Institution." In discussing the effects of various promotion policies,
the authors present tables of the effects of rank distributions on salary
averages. Three promotion philosophies are described: "lock-step
promotion," "merit promotion," and "merit promotion with
reassessment." The relative advantages and disadvantages of each of
these promotion policies are discussed.

The authors of each of these papers are authorities in their own
areas. For the planner interested in studying more than a single area
relating to faculty in higher education, the book offers the expertise of
each of these authors in a single source.

2.1 Supply and Demand

26:2.1/78-1,
Earned Degrees Conferred 1975-1976, Summary Data, National
Center for Education Statistics, 50 pp. (U.S. Government Print-
ing Office, Washington, D.C.).

This report is the latest in a series published annually in various
forms since 1947. The methodology and variables have changed some-

what over the years, but the reports are comparable. The greatest changes have been in the designation of "Institutional" or "Summary" data. The two types of data have been combined, or published separately at various times in the series' history. The last instance in which "Institutional Data" appeared in a report was in 1976 for the year 1973-1974.

The data in the current report result from responses to a survey ("Degrees and other formal awards conferred between July 1, 1975 to June 30, 1976") which was part of the 11th Higher Education General Information Survey (HEGIS), conducted by the National Center for Education Statistics (NCES).

An introductory section describes both general aspects of the institutional survey and the data collected. A reproduction of the survey form is included.

The collection includes three summary, seven detail, and two appendix tables. The summary tables, covering the academic years of 1970-1971 to 1975-1976, are compilations of degrees conferred by discipline division for bachelor's, master's, and doctoral degrees.

The detail tables provide statistics on degrees by a range of variables including sex of respondent, control of institution, and geographic area. Degrees are categorized to indicate different trends. These tables are all based on one definition of the aggregate United States.

The appendix tables are based on another definition of the aggregate and are set up to enable comparison with the tables based on the first definition of the aggregate.

This series provides dependable statistical data which can be invaluable for the researcher in reviewing supply and demand factors as they relate to faculty in higher education.

26:2.1/78-2
Part-time Faculty Series, Howard P. Tuckman, William D. Vogles, and Jaime Caldwell, 104 pp. (American Association of University Professors, Washington, D.C.).

In 1977, the AAUP, with support from the Ford Foundation, launched a 2-year project to study various characteristics of part-time faculty. Data were gathered from two surveys: one of the individuals at randomly selected institutions and the other of all colleges and universities. The results are reported in the six chapters that make up this volume, the first five of which appeared originally in various issues of the 1978 *AAUP Bulletin*. The last chapter is reprinted from the November 1978 *American Sociologist.*

This study was prompted by a growing number of part-time faculty in higher education. The first chapter presents the statistics on

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growth and then examines the structural conditions underlying the labor market for part-timers. Four structural conditions are offered as determinants of the degree of competition in the labor market: (1) the extent of knowledge about wages paid by employers and the contribution to final output made by employees in both the present and future; (2) the homogeneity of the product sold; (3) freedom of entry into and exit from the labor market; and (4) the number of buyers and sellers.

The authors conclude that buyers assume part-time faculty to be good teachers unless proven otherwise. The product was found to be homogeneous and entry and exit freer than in the full-time market. The number of sellers and buyers depends on the perspective brought to the problem; heretofore, a national perspective prevailed but the authors argue for a more limited scope because they found 70 percent of part-time faculty had other jobs and 55 percent said they found it impossible to relocate.

The advantages of hiring part-time faculty are primarily economic. Part-timers usually teach for less per course than do full-time faculty, use fewer resources, demand fewer fringe benefits, and provide flexibility in matching specific skills with specific needs. On the other hand, part-time faculty are generally less well-credentialed and contribute little outside the classroom. Whether or not part-time faculty actually receive a lower wage than full-time faculty is difficult to ascertain because of the noncomparability of the two groups. The study calculated a wage figure under two assumptions: that institutions themselves control for differential quality by assigning rank commensurate with skill, and that some institutions may intentionally assign a lower rank to part-timers. When rank is not controlled, part-time faculty as a group shows a significantly lower wage-rate than does full-time faculty. The differences disappear, however, when rank is controlled.

Part-time faculty are also shown to receive fewer fringe benefits than full-time faculty, but the majority report that they are satisfied with their positions and that they were unaware of the salaries paid to full-time staff.

The second chapter explores some personal characteristics of part-time faculty. In general, they were found to be well educated, to have expertise in one or more academic areas, and to have had some experience in the full-time labor market. There was, however, no single part-time labor market. Instead, the market was fragmented by those whose primary motivation was flexibility and those whose primary motivation was work. A taxonomy of part-time faculty is presented, based on their motivations for seeking a part-time position. Six groups are distinguished: Semiretired, student, hopeful full-time, full-mooner, part-mooner, part-unknowner. Descriptions are given

for each and their relative frequency in the population shown. Full-mooners are most prevalent, comprising nearly 30 percent; semiretired is the most infrequent, with less than 3 percent. Other sections discuss personal characteristics and the workplace, and provide an overview of the work history of part-timers. An appendix presents a statistical sketch of the sample.

The third chapter deals with the issue of fringe benefits for part-time faculty. Little is known about the fringe benefits of such faculty due to the transient nature of these people, the difficulty of collecting and analyzing data, and the reluctance of institutions to reveal information for fear it will be used against them. From the survey, however, it was learned that most part-time faculty employed more than one-half time receive at least social security benefits, and many are eligible for retirement plans. About one in five receives medical and insurance benefits. The vast majority of part-timers, however, are forced to rely on their earnings as a sole source of income. These earnings show a wide variability among the part-time faculty. The major explanations for this variability are the four market conditions presented earlier and an institution's specific policy toward part-time employment. Salaries of part-timers are determined primarily by the number of buyers of part-time faculty. However, the wage models used for predicting salaries of full-time staff are much less accurate when applied to part-time faculty. The most significant explanatory variables are the length of the contract period and the control of the institution. Contrary to popular belief, childrearing, type of institution, marital status, race, and a willingness to move are not significantly related to salaries.

Although the last two chapters reiterate much of the previous ones, sections on job mobility for part-time faculty, a section on part-timers and governance, and some limits on using part-time faculty are added.

26:2.1/78-3
Employing Part-time Faculty, David W. Leslie, ed., 111 pp. (Jossey-Bass, San Francisco).

This book analyzes the available data and experience on the employment of part-time faculty in American colleges and universities. The first three chapters of the book report preliminary results of the study being conducted by The Center for the Study of Higher Education at the University of Virginia. The next three chapters speak from the concrete experience of the Miami Dade Community College, Siena Heights College, and Northern Virginia Community College. A concluding chapter deals with the implications of trends and academic

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work statistics for the capacity of the knowledge-producing enterprise to deal with critical intellectual and social problems.

Leslie's chapter on the part-time faculty labor force points cut that the part-time labor market is very unclear, because there are no standardized definitions with which to begin and no reliable numbers to count.

Chapter II, "Part-time Faculty in Four-year Colleges and Universities," by Kellams and Kyre compares part-timers with a sample of full-time faculty drawn from two major national studies (Parsons and Platt, 1968, and Bear, 1973). They conclude that part-time faculty are a more diverse group—in age, work and educational background, academic degrees, and so forth, than are full-time faculty. It is rather surprising that their data show that part-time faculty attitudes on such things as the place of collective bargaining and preferential hiring of women and minorities in colleges are not different from those of full-time staff. "Part-time faculty are a diverse lot; they are employed to perform particular tasks; they hold diverse educational philosophies; they enjoy activities less traditionally academic; and they see tension growing out of faculty role conflict or faculty status as less severe than do the full-time faculty members."

Chapter III is a discussion of the law and part-time faculty. It concentrates on the status and security of part-time employees, equitable compensation, and the appropriate bargaining unit among faculty in unionized institutions.

In three separate contexts, chapters IV, V, and VI discuss the treatment of part-time faculty and make many practical suggestions for administrators confronted with the possibility of employing part-time faculty.

Blackburn's chapter, "Part-time Faculty and the Production of Knowledge," argues that the current and future academic marketplace does not supply the influx of new talent into universities that is needed for the creative solution of societal problems through the production of knowledge. The supply of Ph.D.'s is far outstripping the vacancies, resulting in a situation in which the odds are against a new but unplaced Ph.D. becoming productive.

Two alternatives that Blackburn wants institutions to consider more carefully are: (1) filling every vacancy with two part-time (half-time) faculty and (2) experimenting more thoroughly with early retirement. He also believes that society should experiment with the founding of alternative research organizations that are devoted to problem solving, such as Rand and The Brookings Institution.

26:2.1/76

Young Doctorate Faculty in Selected Science and Engineering Departments, 1975 to 1980, Frank J. Atelsek and Irene L. Gomberg, 31 pp. (American Council on Education, Washington, D.C.).

This book is a report based on a 1976 survey conducted for the National Science Foundation. It focuses on young doctorate faculty (defined as having received their doctorate degrees within the previous 7 years) employed full-time in science and engineering departments at Ph.D.-granting institutions. Department heads in selected science and engineering fields at 145 such institutions (all of which had received at least $1 million in Federal support for research and development in 1974) were surveyed regarding the proportions of young doctorates on their faculties; an estimation of the proportion in 1980; their opinions concerning whether those proportions were too low; the steps the department or institution had taken or was planning to take in the near future to change tenure or appointment policies and practices; and their opinions concerning changes they felt would be necessary to correct the problem areas. The selected departments included biochemistry, biology, botany, chemical engineering, chemistry, economics, electrical engineering, physics, physiology, sociology, and zoology. Responses to questions outlined above are presented in tables, by department.

The results of this study indicate that the proportion of "young" faculty has decreased over the past 7 years and is expected to continue to decline. Suggested means of increasing this proportion include encouragement of early retirements; increased funding, research support, post-doctorate research associate positions, sabbaticals, etc.; changing the tenure system; and hiring only or mostly young faculty. Respondents were not optimistic that these changes would in fact be accepted by their departments or institutions.

While other sources may give more complete data on the actual proportions of young faculty in American higher education, this report is valuable for its data on the perceptions of persons directly affected by the shortage—the heads of departments.

26:2.1/71

Academic Janus: The Private College and Its Faculty, Reece McGee, 260 pp. (Jossey-Bass, San Francisco).

The core of this book is a study of academic labor market behavior in private, 4-year, liberal arts colleges. As such, it is a sequel to Caplow and McGee's *The Academic Marketplace,* which examines faculty vacancies and replacements in universities. *Academic Janus*

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stands apart, however, in that it concentrates on faculty who actually move or were presented the opportunity to move. Interviews were conducted with 710 faculty members at 11 prestigious liberal arts colleges.

The first two chapters present the background literature on mobility and describe the college as a social system. The discussion of the inherent conflicts and dualisms in such a social system and their implications for the mobility process are especially illuminating. Such dualisms as the science and nonscience cultures first discussed by C.P. Snow, the tension between research and teaching, and the conflict between the three principal groups—faculty, administration, and the governing board—for authority form the backdrop against which mobility is viewed. The third chapter examines the nature of academic work and mobility, pointing out that no single labor market exists. Rather it must be determined by various disciplines and, to some extent, by geographic location. Most market activity is background noise, and very few faculty are active in the process. The active faculty as a group tends to be better prepared, to have earned higher degrees, and to have completed graduate school faster. They are also better paid than are inactive faculty members.

Chapters 4 and 5 look at the mobility process itself, concluding that it is a sequential set of stages, which are primarily social and interactive. The cycle is infused at every step with a complex weighting system, based on institutional, departmental, and personal prestige. The important conclusion is how the process is dominated *in absentia* by the values of the universities.

The book ends with six conclusions about the mobility process in colleges: (1) It is social and transitive—proceeding in more or less a prescribed way; (2) the market is best for those in better colleges; (3) mobility is low—three-fifths of all active faculty remain where they are; (4) neither mobility behavior nor the general range of market behavior is explained adequately by classic economic variables; (5) people leave their jobs when driven out by the inability to continue to live with the dissatisfaction with them; and (6) consideration of personal, departmental, and institutional prestige colors all decisions and limits choice.

A final note is crucial. The field work for *The Academic Marketplace* was done in 1956-57 and for *Academic Janus* in 1966-67, both before any significant impact of affirmative action and equal employment opportunity laws on campus. To the extent that these laws have had significant effects on hiring and recruiting, what is described in these books may be a snapshot of the past or a description of a process that has gone underground.

2.2 Reductions and Retrenchments

26:2.2/77-1

"City University of New York: Mass Dismissals under Financial Exigency," American Association of University Professors, *AAUP Bulletin,* Vol. 63, No. 2, April, pp. 66-81.

26:2.2/77-2

"Academic Freedom and Tenure: The State University of New York," American Association of University Professors, *AAUP Bulletin,* Vol. 63, No. 3, August, pp. 237-260.

In the mid-1970's, events in New York combined to bring severe financial pressures on both the State University of New York (SUNY) and City University of New York (CUNY). Each system responded in a variety of ways, only one of which was to retrench faculty. These two articles, both by AAUP investigating committees, review each case with an eye toward the congruency between actions taken and established AAUP policies and guidelines.

The CUNY case is perhaps the more dramatic because of the incredibly swift turnaround in fortunes. The article provides a brief review of the growth of the CUNY system prior to 2 years of budget cutbacks. The article is divided into two major sections. The first section sets in context events leading to a financial exigency condition and provides a short chronology. The second section discusses the events from the perspective of the AAUP's policy on termination of appointments in situations of financial exigency and addresses three questions: (1) Could better planning have prevented such severe reaction? (2) Was there appropriate faculty participation in the decisions? and (3) Were the separated faculty members afforded academic due process?

The article goes on to show how the actual budget cuts were even greater than they seemed to be—due to the inflationary times, the budget cut the previous year, and the precarious financial picture of New York City. The committee is genuinely sympathetic to the largely externally imposed fiscal problems, yet it is somewhat critical of the decisions to maintain free tuition and to oppose future budget cuts. These decisions acted against the best interests of large numbers of faculty. The committee also concludes that faculty's role in termination decisions was not even close to the minimum AAUP recommendations. It also argues that the procedural elements for retrenchment decisions of the CUNY Governing Board's Guidelines were defective and not compatible with the AAUP standards. It recommends a thorough revision of the guidelines as a first requirement for the provisions of academic due process at CUNY.

Although the situation at SUNY may not have been as dramatic as that at CUNY, the implications of events there have no less meaning for the role of faculty in decisions of retrenchment and financial exigency. This article reviews the SUNY budget cuts of 1975 and 1976 and the call by the university's board of trustees for a campus-by-campus review of programs. A detailed chronology of the events and circumstances involved in implementing the program review is also provided.

The second section of the article reviews the retrenchment policies as established by the central office and describes the procedures followed on various campuses, along with specific retrenchment actions. Several pages of detailed findings are presented on such issues as faculty participation, termination of tenured faculty, problems of reorganization and responsibility. The article concludes that retrenchments were "initiated by the University Administration without appropriate consultation with the faculty and without any showing of a financial exigency which actually threatened the continuance of the University." It further charges that it is possible for the administration to target individuals for retrenchment, thereby threatening a faculty member's right of dissent.

An addendum containing the reactions to the committee's report by then acting chancellor, James Kelley, is included.

26.2.2/S-1

"The 1976 AAUP Retrenchment Policy," W. Todd Furniss, *Educational Record*, Vol. 57, Spring 1977, pp. 133-139.

26:2.2/S-2

"The Status of 'AAUP Policy'," W. Todd Furniss, *Educational Record*, Vol. 59, Winter 1978, pp. 7-29.

26:2.2/S-3

"The Usefulness of AAUP Policy Statements," Ralph S. Brown, Jr., and Matthew W. Finkin, *Educational Record*, Vol. 59, Winter 1978, pp. 30-44.

The two articles by Furniss and the reply by Brown and Finkin, read as unit, represent a logical extension of the issues raised by Furniss in an earlier collection of papers on steady-state staffing and annotated elsewhere in this volume. At the same time, they stand apart as a thoughtful debate of AAUP policy and are included here because of the historical importance the AAUP has enjoyed in faculty matters.

In the first article, Furniss argues that the phrase "financial exigency" has lost most of its denotative power and considers it unfor-

tunate that the AAUP emphasizes it. He traces the use of the term from the 1925 Conference on Academic Freedom and Tenure through the 1968 Recommended Institutional Regulations, especially regulation 4 (RIR4), and the 1974-76 revisions by Committee A, ail sponsored by the AAUP. Furniss then elaborates on the American Council on Education's Commission on Academic Affairs' objections to the most recent use of the phrase. Their objections stem from three circumstances: (1) use of the AAUP wording in institutional policy leaves "financial exigency" undefined and allows the court to substitute its meaning; (2) courts often assume AAUP policy represents common acceptable practice; and (3) the document itself is defective.

This third objection is developed by reviewing what RIR4 attempts to do and noting its deficiencies. At the same time, the author recognizes the need for a "careful fabrication" of a retrenchment policy designed to meet particular institutional conditions.

The second article addresses the question of whether or not AAUP policy in general has garnered the status of commonly accepted policy and is especially concerned with the interpretation by courts of law. Furniss wonders if AAUP policy constitutes legally binding "understandings." He argues that AAUP policy has served well, but recent events such as enrollment decline and collective bargaining call its reliability into question.

A brief review of the evolution of AAUP policy is provided, and a table displaying the Association's policy documents since 1940 and outside endorsements is used as partial support for the argument that AAUP policy does not constitute commonly accepted policy. Furthermore, of the 100 endorsements of the 1940 "Statement of Principles on Academic Freedom and Tenure," 81 are from disciplinary organizations. Furniss argues that there is not now much chance for a "common law" of academic principles to develop and advises institutions to dissociate themselves from the AAUP policy by including explicit statements to that point in faculty handbooks and to review personnel policies that rely on AAUP language or interpretation.

In a reply, Brown and Finkin charge that Furniss has concerned himself with only one narrow use of AAUP policy, i.e., clarification and support documentation in litigation, and has misunderstood what the courts are doing.

A section on the formation of AAUP policy seeks to clarify what is meant by "AAUP policy" and the nature of endorsements. Another section refutes the charge that AAUP policy is distorted by collective bargaining pressures. A third section argues against Furniss' proposed institutional disclaimers. The article concludes with another interpretation, contrary to that of Furniss, of how the courts use and view AAUP policy statements.

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The issues raised by this lively debate are well worth the consideration of both faculty and administration as they are sure to be more commonplace in the coming decade.

2.3 Tenure

26:2.3/79

Classical Tenure and Contemporary Alternatives: Academe's Principles and Court Decisions, Elaine R. Di Biase, 261 pp. (Unpublished doctoral dissertation, The Pennsylvania State University, University Park).

The focus of this study is the legal basis of alternative-to-tenure configurations. The first two chapters set the context for such an examination and review the literature pertinent to the historical and contemporary sources of tenure in higher education, the courts in higher education, and alternative-to-tenure configurations. The principles of tenure that form the core of the inquiry are those pertaining to the probationary period of nontenured faculty and the process of earning tenure. The alternative configurations were located through fugitive literature and telephone contacts. The legal principles were identified primarily from *Board of Education v. Roth* (1972) and *Perry v. Sindermann* (1972). Data were also collected from more than 80 additional court cases.

The analysis included three processes. First, the tenure principles were analyzed in terms of the post-1972 court cases and the legal principles to identify which tenure principles have been internalized by the courts. Six tenure principles and nine legal principles are identified. Second, the tenure principles were applied to the alternative configuration to ascertain how alternative-to-tenure configurations may be at odds with the tenure principles. Third, the alternative configurations were considered in light of the courts' reaction to the tenure principles that the alternatives violate; such application permitted inference of the courts' possible reaction to the alternatives.

From the analysis, five clear findings emerge: (1) the essential principles of tenure as understood in the academic world have not been totally upheld by the courts; (2) the courts have not substituted legal principles for the basic principles of the profession; (3) the courts uphold only those tenure principles that have foundation in constitutional amendments or statutory law; (4) the alternative-to-tenure configurations now extant violate only three tenure principles; and (5) the tenure principles violated by the alternative configurations have not been upheld by the courts.

These findings lead to three basic conclusions: (1) neither the alternative-to-tenure configurations nor the courts have altered the

classical structure of tenure, and traditional tenure remains firmly in place; (2) the alternative-to-tenure configurations will withstand legal scrutiny; and (3) the AAUP has had little influence on the courts in encouraging acceptance of the principles of the private legal system of higher education.

The implications of the findings and conclusions are discussed. Three appendixes reprint the academic staff policies at three institutions as illustrations of alternative-to-tenure configurations.

26:2.3/78
Tenure and Termination in Financial Exigency: Report No. 3, Marjorie C. Mix, 29 pp. (American Association for Higher Education/ERIC, Washington, D.C.).

This succinct, monograph presents a cogent discussion of the status of tenure during times of financial exigency. Tenure, Mix points out, has never been guaranteed under conditions of financial exigency, and the courts have been inclined to accept the opinions of administrators in such matters. The first part of the monograph briefly sketches the historical development of the concept of tenure through the founding of the AAUP and the 1940 "Statement of Principles on, Academic Freedom and Tenure" by the AAUP and the Association of American Colleges. Another section discusses the principle of tenure vis-a-vis the law, emphasizing the point that the legal basis for redress on the part of faculty is different in public and private colleges. In public institutions, claims based on the 14th amendment and due process are recognized; in private institutions, the personal service contract nature of employment takes precedence over the due process clauses of the Constitution. A review of court cases shows that no matter how the Constitution is interpreted, tenure is not enforceable if financial exigency is claimed and supported.

Problems abound because there are no clear definitions of financial exigency, and courts become involved only when there is a challenge by a dismissed faculty member. The crucial question is: Who will decide when a condition of financial exigency exists and tenure agreements can be abrogated?

The author offers two solutions, one informal and one formal. The informal solution relies on developing a consensus among faculty and administrators on criteria for determining financial exigency and the proper remedial course of action. The AAUP has offered a three-stage model for faculty participation in this process, which the author reviews. The formal alternative relies on interpreting tenure as a condition of employment and, thus, bargainable under collective bargaining legislation. Mix discusses what is involved in arriving at such a

determination and how criteria for financial exigency and tenure abrogation can be negotiated.

26:2.3/73-1

Faculty Tenure, Commission on Academic Tenure in Higher Education, 276 pp. (Jossey-Bass, San Francisco).

The Commission on Academic Tenure in Higher Education was established in 1971 by the Association of American Colleges (AAC) and the American Association of University Professors (AAUP), and was funded by the Ford Foundation to conduct an autonomous investigation of the practice of tenure in American institutions of higher education. This book is a report of the findings of this committee and its recommendations for future tenure policies. Supporting documents include selected tables from a 1972 survey by the Higher Education Panel of the American Council on Education of tenure policies and practices in American higher education and the 1969 Faculty Survey of the Carnegie Commission on Higher Education.

The Commission's conclusions regarding the status of tenure in 1972 in higher education were (1) that a great variation existed among institutions in tenure policies and practices, with 85 percent of the institutions surveyed by the Higher Education Panel having tenure plans; (2) that almost 50 percent of all faculty were tenured, and because of relative youth of present faculties, tight budgets, and enrollment declines, the chance for advancement of younger faculty members was becoming increasingly difficult; (3) that a need existed for "reform in the operation of faculty personnel programs as a whole and of tenure programs in particular..."; (4) that while alternative contract systems were in operation in some institutions, the Commission was unable to reach any definite conclusions regarding their success. Pros and cons of tenure described by the Commission as the most important or most frequently raised were discussed. It was the judgment of the Commission that "...the weaknesses that have brought academic tenure under needed scrutiny are not imperfections in the concept itself but serious deficiences in its application and administration... These deficiencies, we are convinced, are remediable, by reform in institutional policy and practice and professional standards and priorities.".

The committee concluded that academic tenure is extremely valuable in maintaining both academic freedom and the quality of faculty. It recommended (1) emphasis on institutional responsibility, (2) attention to neglected elements of an effective tenure system (including teaching effectiveness, the role of students in assessment of teaching, evaluation of scholarship and research, faculty responsibil-

ity and codes of conduct, and staff planning), (3) "recognition of
tenure problems as related to the professional development of
faculty," (4) specific means of strengthening institutional tenure
plans, (5) "consideration of a number of special problems of current
concern," (6) "measures for needed information and research to
assist colleges and universities in improving and maintaining effective
faculty personnel programs."

This volume is an invaluable resource as probably the primary
and most thorough reference available at this time on faculty tenure.

26:2.3/73-2

**Steady-State Staffing in Tenure-Granting Institutions, and
Related Papers, W. Todd Furniss, 33 pp. (American Council on
Education, Washington, D.C.).**

The purpose of this book is to develop a personnel policy for in-
stitutions of higher education that can be applied during a time of lit-
tle or no growth in student or faculty populations. The author
describes the current situation as one complicated by the fact that
this no-growth period has followed one of very rapid growth, and by
the emergence of governance patterns very different from those of 30
years ago. The three papers compiled for this book focus on the tenure
system in this steady-state period. The first discusses the desirable
characteristics for a faculty under these conditions and offers recom-
mendations for planning within a tenure system. The second paper
considers the issues which have emerged from the nonrenewal of con-
tracts of probationary faculty in tenure systems. The third paper of-
fers suggestions for lessening the problem of surplus faculty, such as:
increasing funding for college programs (which the author does not
see as a likely possibility), reducing competition by limiting the
numbers of candidates admitted to some graduate programs, adopting
temporary measures which would vary depending on the needs and
resources of individual institutions and departments, reallocating
faculty, creating new jobs, and encouraging career changes among
faculty.

An appendix presents data from a 1974 questionnaire survey on
tenure practices, including such things as length of probationary
periods, percentages of faculty considered for tenure, percentages ac-
tually granted tenure, and contract procedures for non-tenure-
granting institutions. A second appendix offers a sample set of profile
tools for departmental planning in a steady-state condition.
Statements by the Association of American Colleges and the Ameri-
can Association of University Professors concerning the handling of
staff reduction in a tenure system are presented in the final two appen-
dices.

This book is of value for immediate as well as long-term plan-
ning for faculty, particularly in tenure-granting institutions during the
present time of limited growth.

2.4 Retirement

26:2.4/79

Another Challenge: Age 70 Retirement in Higher Education.
Hans H. Jenny, Peggy Heim, and Geoffrey C. Hughes, 80 pp.
(Teachers Insurance and Annuity Association/College Retire-
ment Equities Fund, New York).

This monograph discusses the implications of the 1978 amend-
ments to the Age Discrimination in Employment Act (ADEA) for
higher education. It makes the point that the amendments must be
considered in conjunction with other Federal legislation, the current
economic climate, and certain demographic prospects before its real
impact can be understood. One chapter summarizes the basic provi-
sions of the amendments, describes the major regulations, and
discusses some of the uncertainty surrounding the provisions. The
core feature of the act is the prohibition against discrimination toward
any individual between the ages of 40 and 70 for reasons of age in hir-
ing, discharge, compensation, terms, conditions, or privileges of
employment. The principal manifestation of compliance is changing
the mandatory retirement age to 70, but some exceptions to the limit
exist and are discussed, as are the penalties for noncompliance. The
effect of the amendments on specific benefits such as life insurance,
long-term disability, retirement plans, and salary budgets is also
discussed.

A followup chapter discusses the broader implications of the
amendments within higher education generally and for faculty in par-
ticular. The implications for faculty:student ratios, equal employment
opportunity, affirmative action, tenure ratios, and staffing patterns
are explored. A section on the amendments from the viewpoint of in-
dividual faculty members provides a new perspective. Questions about
early retirement, annuity programs, and financial planning are
addressed.

Another chapter is devoted entirely to retirement income plan-
ning and the need for a preage-70 retirement income base. It makes
the point that a great deal of confusion exists surrounding the phrase
"normal retirement age." Of 1,375 institutions participating in
TIAA/CREF in 1977, only 167 considered normal retirement age
equivalent to mandatory retirement age. More than 20 percent
surveyed gave *two* normal retirement ages. Separate sections discuss

the adequacy of retirement income, full-service benefit age, and retirement behavior.

Early retirement as a policy option is the subject of another chapter. The extent to which an aging faculty can be attributed to the effect of the amendments is discussed, followed by a section on incentive early retirement costs. Another section discusses various early retirement alternatives and the major issues pertinent to the Internal Revenue Service and the Employee Retirement Income Security Act.

The last chapter emphasizes the importance of long-range personnel planning and makes the point that a voluntary, peer-group, retirement preparation program is the best way to gather information regarding employee retirement plans and needs. A finding from a survey of participating institutions showed a widespread lack of information on staff age structures and attrition patterns—necessary ingredients for sound planning.

26:2.4/78-1

Changing Retirement Policies, a part of the series **Current Issues in Higher Education,** American Association for Higher Education, 25 pp. (AAHE, Washington, D.C.).

As of July 1, 1982, involuntary retirement of tenured faculty in higher education, under the age of 70, will be prohibited by the recently passed amendment to the Age Discrimination in Employment Act. Prepared for the American Association for Higher Education, this publication consists of three papers which explore the impact and implications of this legislation.

The first of the three papers was prepared by David D. Palmer and Carl V. Patton and focuses on attitudes of faculty towards early retirement. The paper is based on two studies: on the Ladd-Lipset 1977 Survey of the American Professoriate, a questionnaire survey of over 4,200 faculty at nearly 160 universities and colleges; and on "A Survey of Institutional Practices and An Assessment of Possible Options Relating to Voluntary Mid- and Late-Career Changes and Early Retirement for University and College Faculty," conducted by Joseph Zelan through interviews with faculty who had recently retired under incentive early retirement programs. Data are analyzed regarding the proportions and types of institutions with current retirement ages lower than 70 (which will of course be most affected by the new legislation); the impact of differing ages at which faculty report they would "most likely retire from full-time academic employment" as a function of the mandatory retirement age and type of their institutions; and the types of early retirement incentives which faculty reported would induce (or already had induced) them to retire earlier (and how much earlier).

The second paper, written by Thomas M. Corwin, is a report on the American Council on Education study of the "Effects of Raising the Mandatory Retirement Age of Higher Education Faculty." Data on age distribution of tenured and non-tenured faculty are presented and discussed for institutions of higher education as a whole and for different types of universities and colleges. Also surveyed are institutional policies regarding mandatory retirement and recent and projected faculty vacancies (their number and the ages of those vacating the positions) for these institutions. The implications of these data for planning for the 1982 prohibition on mandatory retirement under age 70 and the effects of this legislation on the market for young Ph.D.'s are also discussed.

The third paper, prepared by Peggy Heim, discusses the implications of this new retirement age legislation, focusing on the financial implications (for both institutions and for faculty members). She offers, for the consideration of the planner, potential results of and/or problems with a wide range of policies aimed at dealing with the new legislation.

During a time of decreased student enrollments, limited budgets, and an already serious shortage of positions for new faculty, the new mandatory retirement prohibition brings with it issues of importance to planners for faculty in higher education. This collection of papers offers the planner an overview of the wide range of these issues and statistical analyses of the extent of some of the problems. It also covers the anticipated outcomes of various methods for dealing with the problems.

26:2.4/78-2

Academia in Transition: Mid-Career Change or Early Retirement, Carl V. Patton, 250 pp. (Abt Books, Cambridge, Mass.).

During a time of little or no growth (and even decline) in the size of student population and budgets, American institutions of higher education are facing a serious dilemma of having little room for adding new young faculty so imperative to the vitality of higher education. When the rapid growth of the sixties finally came to an end, these institutions were left with a supply of faculty more than adequate to meet their need (in number) for a long time to come. In an effort to deal with the problem, some institutions have encouraged faculty members to retire earlier, in order to open spaces for the new younger faculty. The recently passed Federal legislation prohibiting forced retirement of faculty before the age of 70 will become effective in 1982. For many institutions this will mean allowing faculty to remain even longer than before.

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The author begins his study of this situation with a review of why higher education institutions need early retirement programs. The steady-state condition and its implications for the future of institutions of higher learning are discussed. An exploration into the steps that private industry, government, and academe have taken to encourage mid-career change and early retirement follows. In addition to reporting on a number of academic institutions which have formalized incentive plans of early retirement, the author looks at plans within the civil service, the military, and private industry—and covers the basic structures of the plans, the types of incentives used, and the success each has had in encouraging early retirement. .

One chapter focuses on a study of early retirees from four major universities having incentive programs. The author examines reasons given for choosing to retire early, the preparation that was necessary before retirement, satisfaction or dissatisfaction with the decision, and the effects of early retirement on the retiree's scholarship activities, economic position, and general well-being. His findings indicate that certain candidates seem to be better prospects than others for early retirement. The characteristics of this group are discussed.

The financial implications of various retirement options, including complete retirement and part-time employment, are carefully reviewed in a separate chapter. Carl V. Patton discusses the effects on faculty composition which would result if these various options were employed. Through a statistical analysis, he evaluates the impact which early retirement and mid-career change would have on faculties containing different age groups, and points out the changes in rates that would be necessary to alter the age composition of faculty.

A chapter devoted to legal questions, updated to include the most recent changes in the Age Discrimination in Employment law, is included covering funding, tax, and the requirements of the Employee Retirement Income Security Act (ERISA).

Finally, Patton discusses the advantages and disadvantages of the options reviewed earlier in the volume. He presents a number of policy implications for consideration. This timely book will be a valuable reference to planners, helping them identify possible alternatives for encouraging faculty to retire early, prepare necessary cost calculations, focus on the proper control variables when the age composition of faculty is identified as a problem, and present a general view of the impact one can expect early retirement programs to have on faculty.

2.5 Discrimination and Affirmative Action

26:2.5/78

But We Will Persist, American Association of University Women, 86 pp. (AAUW, Washington, D.C.).

This report results from a survey conducted by the American Association of University Women (AAUW) in 1977. This is a follow-up on a survey taken in 1970, designed to determine the progress that has been made in higher education since the enactment of affirmative action and equal opportunity laws. The survey also supplies data on new programs, trends, and practices that have begun because of recent legislative action.

The data collected show that women have made small gains, but that discrimination persists. Discriminatory practices have led to continuing inequality in opportunities and resources open to women. The study shows that although academic institutions are fulfilling immediate requirements, they are not taking steps to ensure discrimination does not recur. The report also cites attitudes within academia as causing the most problems for women. Many academics are of the opinion that the problem is also due to "societal attitudes and economic factors such as retrenchment, lack of funds, and other resources." The data show that legislation is thought to be the most effective way to reduce discrimination. "Commitment of university administrators, education programs for women, and campus advisory groups on women" are also cited as good tools to decrease discrimination. The report includes many major findings on such varied topics as "child care," "recruitment procedures," and "women as commencement speakers." There is also a list of "AAUW Recommendations for Remedial Action."

This report provides a good preview of AAUW's expectations. It shows the gains that they believe have been made, the gains they desire, and most importantly, a foreshadowing of how they plan to attain their goals. The findings, based on very current data, will be quite valuable, especially since the salience of the issues demands that supporting evidence be recent in nature.

26:2.5/75

Making Affirmative Action Work, Carnegie Council on Policy Studies in Higher Education, 272 pp. (Jossey-Bass, San Francisco).

In the council's opinion, substantial progress in employing, promoting, and paying women and minorities has been made, but affirmative action is still needed to overcome the effects of past discrimination. Feeling that affirmative action is now in a transition

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period with potential for true equality of opportunity, the council devotes this volume to policies and recommendations to facilitate such a transition. Seven themes form the framework for the report: (1) Colleges and universities should continue to assume the initiative in securing equality of opportunity; (2) the supply aspects of equality of opportunity are more important now than the demand aspects; (3) although the demand gap seems to have lessened, a better distribution of women and minorities among institutions and fields of specialization and ranks is still badly needed; (4) efforts at "fine-tuning" by the Federal Government can lead to ludicrous results and be counterproductive; (5) broadly defined goals and timetables should be continued; (6) confusion, which characterizes the Federal affirmative action program, should be corrected quickly; and (7) compliance should rest on persuasion and, for the necessary minority, punishment should fit the crime.

The second chapter chronicles recent changes in the distribution of women and minorities in academe. In the 1960's women in the top three faculty and administrative positions were found to have lost ground, but they gained numbers at the instructor level. Women were also found to be underrepresented in the C? negie Commission's Research Universities I category vis-a-vis Reseaı̇̇ch Universities II. On the other hand, percentages of minorities among faculty members were slightly higher in Research Universities I. The sample of responding institutions is slightly biased toward larger institutions. Based on the results of a survey of affirmative action policies conducted by the council in the spring of 1975, the council believes a large part of affirmative action plans should now emphasize the supply side of the problem, i.e., plans should give "maximum encouragement to women and minorities in achieving graduate and professional degrees." This is the first of 26 specific recommendations regarding affirmative action. Other recommendations include modification of graduate schools' policies and procedures to encourage female and minority matriculation and the collection of better data bases on the progress of affirmative action.

Given the caveat of less than excellent data—an oversampling of large institutions—Chapter 3 reviews policy changes that can be attributed to affirmative action, the most notable being antinepotism regulations. The effect of the changing nature of the academic job market on affirmative action is discussed next. Most institutions surveyed had already developed acceptable affirmative action plans or were formulating such at the time of the survey. From such plans, the council has composed a list of elements it believes belong in a good plan, and recommends that institutions (rather than the Federal Government) take major responsibility for shepherding affirmative

action through the transition period. It further offers specific recom-
mendations on how such programs should be administered; what role
committees should play; and what roles recruitment, selection, pro-
motion, and salary, as well as part-time faculty and nonfaculty
academic appointments, should properly play.

Chapter 4 provides background on Federal policies, starting with
the 1965 executive order; Chapter 5 discusses the issue of goals and
timetables. The council recommends retaining the idea of goals and
timetables, but argues that they should be broad. An important con-
tribution is the distinction between "pools of qualified persons" and
"availability pools." The former, the council believes, are closer to
the intent of the law.

Chapter 6 lists the deficiencies in the administration of Federal
programs and the staff inaucquacies of the Office for Civil Rights, the
Equal Employment Opportunity Commission, and the Office of
Federal Contract Compliance. Several specific recommendations are
offered to improve these offices.

Chapter 7 explores the issues associated with grievances and
enforcement procedures. It recommends a graduated sanctions pro-
cedure and notes the problems with cutting off research funds. A sec-
tion on grievance procedures within institutions is also included.

Finally, the last chapter addresses the question, "Who should
have responsibility for what?" Responsibility for implementing each
of the previous recommendations is parceled out to either individual
institutions, the Congress, or the various Federal agencies. An appen-
dix of statistical results from the survey is included, as is an appendix
of excerpts from appropriate executive orders, legislation, and other
pertinent documents.

26:2.5/74-1

**Antibias Regulations of Universities: Faculty Problems and
Their Solutions,** Richard A. Lester, 168 pp. (McGraw-Hill
Book Co., New York).

The author begins by considering the supply and demand aspects
of faculty appointments at major universities. This discussion is ex-
tended to include "university aims in hiring, promotion, and compen-
sation of faculty."

Next the author discusses "the various aspects of discrimination,
especially in university faculties, and explains the need to take supply
factors into account in dealing with allegations of discrimination in
employment." He goes on to say that "the Federal Government, in its
method of analysis and its enforcement programs, has tended to
neglect these factors."

The author proceeds to examine the U.S. Department of Health, Education and Welfare (HEW) program for compliance. Both the development of and the plan for calculating goals are analyzed. Richard A. Lester includes a numerical example of the difficulties encountered by following HEW's plan, and suggests other goals for affirmative action plans.

Enforcement programs, on both the Federal and state levels, are reviewed. The author looks at the process of adversary proceedings and proposes an alternative system for dealing with allegations of discrimination in faculty employment.

HEW's Higher Education Division and its relationship to affirmative action in major universities are examined. Discussion includes comment on the inappropriateness of using an industrial model for a faculty system to determine antibias regulations.

Lester "presents an alternative program of antibias regulation for faculty of higher education." The program consists of "six substantive components." The first suggests the need for affirmative action to increase the supply of qualified female and minority faculty in those disciplines where they are particularly few in number. Lester's second point is that affirmative action analysis and goals should be confined to the level of new and prospective Ph.D.'s. For his third part, Lester reviews five methods for enforcing nondiscrimination. The last three components deal with administrative policies. Lester feels HEW should handle affirmative action plans, not the Labor Department. He also suggests that *one central* agency be created to assume the responsibility of regulation. Relating to this, he believes there is a need for reordering and improving the staff at HEW which would be undertaking this task.

The author closes with a summary of "the principal faults in federal antibias regulation of universities" and a discussion of "the need for leadership by faculty and administrators to achieve appropriate and constructive antibias programs..." This recapitulation of governmental failure to recognize academic goals and the need for a strong administrative stand is supported by the opening chapters.

26:2.5/74-2
Toward Affirmative Action, New Directions for Institutional Research, No. 3, Lucy W. Sells, ed., 99 pp. (Jossey-Bass, San Francisco).

In her work on affirmative action with faculty, students, and administration and government officials, Sells has detected the existence of three groups with radically opposing views. These are the "subcultures" of the "advocates, adversaries and enforcers," whose

perceptions tend to be sufficiently diverse that they talk past each other entirely.

Sell's purpose in compiling these eight essays by representatives of the three camps is to provide a forum where issues can be clarified, positions rethought or at least more clearly stated, myths debunked, and misunderstandings laid to rest. In short, the object of the book is to enhance communication in an area marked with confusion if not panic in some instances.

The volume sets out on the right foot with Bernice Sandler's review of affirmative action legislation and instances where it is required. Her concise summary and section on "myths and realities of affirmative action" alone make the book worthwhile for heads of higher education institutions. *Toward Affirmative Action* can also be expected to prove useful to its stated intended audience, institutional researchers or academic planners.

Many of the book's main points will come as news for those who have not followed the development of affirmative action concepts and guidelines—or those who have attempted but run amuck on less than lucid Federal communications. A case in point is the distinction between numerical goals in hiring, promotion and so forth, and quotas. The "advocates" and "enforcers" clearly state that quotas are a violation of the Constitution and numerous statutes, and are not the objective of affirmative action. Rather, numerical goals are designed to help rectify patterns of past discrimination and insure that it does not recur. "Quota systems keep people out; goals are targets for inclusion of people previously excluded."

Although not explicitly identified as such, the theme of *Toward Affirmative Action* might be summarized: "The realities of affirmative action are less dangerous for institutions of higher learning than the myths the adversaries believe." In this short volume, Sells has done much to render the sensitive area of affirmative action safer for all concerned.

3.0 PERFORMANCE
3.1 Assessment and Rewards

26:3.1/80

Successful Faculty Evaluation Programs: A Practical Guide to Improve Faculty Performance and Promotion/Tenure Decisions, Peter Seldin, 180 pp. (Coventry Press, New York).

A variety of forces combine to place renewed emphasis on faculty evaluation. The strained fiscal condition of most colleges and universities dictates careful attention to faculty personnel decisions. A growing consumer orientation on the part of students and parents re-

quires information on courses and faculty. Indeed, faculty members themselves are showing increasing concern for their performance, as are external governing and coordinating bodies concerned with measures of accountability. Seldin recognizes these forces and discusses each in detail in providing the background for a comprehensive treatment of faculty evaluation programs. A separate chapter is devoted to current national practices, student evaluations, colleague evaluation, self-evaluation, student learning, student advising, institutional service, and research and publications.

In 1978, the author surveyed administrators at 680 4-year liberal arts colleges to examine critically the wide range of evaluation practices and to suggest which practices needed improvement. Classroom teaching was found to be the most significant element in evaluating overall faculty performance. Academic advising and committee work were also important. Deans and department chairmen most often evaluated teaching performance, but relied heavily on student ratings. They also were the individuals who most often evaluated research and publications, although public institutions ascribed more importance to this aspect of performance than did private ones. College service was most often interpreted as advising and committee work.

In reviewing previous research on student evaluation of faculty, Seldin reports the mixed results on the relationship between evaluation and improvement of teaching. There is no relationship between sex, class level, or class size and students' responses on evaluations. In short, student evaluation forms are often reliable, and the author found little faculty antagonism toward them. Some common objections to the use of student evaluations (such as the nonobjectivity of students, their overly harsh judgments, or their cost) are shown to be specious. At the same time, the author concludes that much better questions will have to be put to students before such evaluations can be used heavily in personnel decisions. Some sample forms are presented, along with suggestions for strategies and guidelines in setting up evaluation programs, how to interpret the results, and who should see the results.

This same format is used to discuss colleague evaluation and self-evaluation. The author found that many basic guidelines for colleague evaluation programs are frequently overlooked; he offers suggestions for personnel committees. The evidence that such committees often require remains uncollected because of the peculiar attitude of faculty toward supervision. Seldin presents seven basic guidelines for colleague evaluation programs, as well as examples of forms used elsewhere. Self-evaluation is criticized for its unreliability, but it can be an integral component of a total evaluation package if conducted correctly. Its success hinges on the support of administrators.

Three chapters are devoted to a discussion of the use of various educational outcome measures as evaluation tools. Specifically, Seldin reviews work on student learning, student advising, institutional service, and research and publications. The problem with student learning research is, in large part, methodologic, ranging from problems of measurement to adequate research design. Student advising, although a crucial duty in an institution, is given little attention by faculty because it is rarely used in promotion and tenure decisions. The author, however, presents examples of successful advising evaluation programs, as well as guidelines for their establishment. The use of research and publications as evaluation criteria generates the most controversy, and Seldin explains the basic issues and reviews previous research. He presents guidelines for developing a systematic means of evaluating research and publications.

One chapter presents a variety of actual faculty evaluation models already in use and provides the reader with a basic foundation from which to make adaptations to fit local needs. A final chapter on guidelines for developing successful faculty evaluation programs provides a comprehensive blueprint for such adaptations.

26:3.1/79

Academic Rewards in Higher Education, Darrell R. Lewis and William E. Becker, Jr., 341 pp. (Ballinger Publishing Co., Cambridge, Mass.).

The authors' interest in academic rewards stems from the applied concern for administration. "Knowledge about what motivates faculty to become effective scholars," they note, "is of critical importance for rational decisionmaking." This collection is a direct result of a colloquium series the authors organized in 1977 to extend the conceptual and empirical bases of academic reward systems.

The volume is organized into five parts. Part I deals with theoretical perspectives on faculty motivation and consists of three chapters. Wilbert McKeachie provides a psychological perspective as he concentrates on the intrinsic and self-determined rewards of faculty. An economics perspective is provided by William Becker, as he looks at the economic consequences of changing faculty reward structures. A formal, constrained utility optimization model of university professors' behavior is developed. Sanford Dornbusch provides the sociological perspective by drawing on the earlier developed theory of evaluation and authority in organizations (Dornbusch and Scott, 1975). He argues that universities are professional bureaucracies and identifies the sanctions for compliance. Evidence is presented from a study of Stanford faculty.

Part II is composed of one chapter—a discussion of the job market for college faculty, by Richard Freeman. Some unique features of the academic labor market are discussed, and an empirical analysis of developments in this market from 1920 to 1970 is provided. A small econometric model is developed to evaluate the effects of enrollment changes and changes in the supply of potential faculty on salaries and employment. The elasticity of demand for faculty was on the order of −0.3 or −0.4 with respect to salaries and +1.0 with respect to enrollments. The formal model is presented in an appendix.

Part III is devoted to academic labor productivity and its measurement. A chapter by Wayne Kirschling introduces various productivity concepts as found in input-output and behavioral approaches and relates them to five classes of issues in the area of faculty productivity. Darrell Lewis and Theodore Kellogg identify and recommend four planning and evaluation criteria (quality of outcomes, centrality to mission, program demand, and cost-effectiveness) for allocating departmental and collegiate resources. A chapter by Kenneth Doyle focuses on the use of student evaluations as cues for determining faculty rewards. Sections on reliability, validity, generalizability, and the ethics of student evaluations are presented.

Part IV focuses on the empirical aspect of current reward structures, with primary attention to salaries. Howard Tuckman reviews commonly available rewards and the incentives they create. He concludes that rewards tend to be greatest for those at the lowest ranks, and that the rewards structure primarily favors performance when faculty have large numbers of years left to work. Howard Bowen reviews the historical and current economic status of higher education salaries.

Two chapters are concerned with sex differences in academic rewards. Helen Astin and Alan Bayer stress the methodologic and conceptual problems in determining sex differences. Previous research is reviewed, as well as the results of the authors' own research. George Johnson and Frank Stafford examine the extent to which men and women's salaries differ and explore some reasons for the differences. A chapter by James Begin provides a comprehensive treatment on the relationship between faculty rewards and faculty bargaining.

The concluding chapter, by the editors, is on the adaptability to change and academic productivity. A number of external pressures currently affecting productivity—declining demand, financial pressures, increasing governmental regulations, and expanding egalitarianism—are discussed. Some policy implications and strategies are offered.

26:3.1/78

Evaluating Faculty Performance and Vitality, New Directions for Institutional Research, Wayne R. Kirschling, ed., 106 pp. (Jossey-Bass, San Francisco).

This collection of articles stems from an NCHEMS-sponsored effort to identify ways to enhance faculty performance. The premise is that faculty performance and vitality should be viewed as inextricably linked. Three major avenues to modification of faculty performance discussed are the reward system, the allocation of work assignments, and faculty development and renewal policies. Little is known about the effectiveness and costs of such options.

In the first chapter, Donald K. Smith stresses that consideration of faculty vitality cannot and should not be separated from a concern for the societal mission of the university. The history of personnel policies is discussed within a unifying framework of five organizing principles: (1) peer selection and review; (2) the merit principle; (3) the principle of tenure; (4) checks, balances, and constraints; and (5) a climate of consultation. Various problems such as tenure density and conflicting claims of society and institutions versus the individual underlie the need for intervention and innovation.

In a second chapter, Jack Lindquist critiques the bureaucratic and political strategies for faculty development and suggests that the tandem strategies of social learning and problem solving offer more promise. The essentials of each approach are discussed.

John A. Centra thoroughly reviews the role of student assessments in improving faculty performance and vitality. In most cases, student ratings are found to be valid, reliable, and not biased by student ability, age, gender, or class level. Some evidence points to lower ratings for teachers with less than 3 years' and more than 12 years' experience. Some attempts at institutionwide evaluation surveys are discussed. The author concludes with recommendations for multiple indicators.

Performance and vitality as a function of student-faculty fit is the subject of Gerald K. Bogen's chapter. His thesis is that improving performance requires an indepth analysis of the interactive nature of individual needs, the tasks to be accomplished, the social-structural characteristics of the organization, and the incentive structure of the institution. A discussion of the diversity of student bodies and faculties, as well as policy recommendations, follows.

Carl V. Patton considers early retirement and midcareer changes as options for improving performance and vitality. Surveys of practices in a variety of institutions indicate that a great number of special incentive schemes for early retirement exist, ranging from full salary

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annuity to severance payments. Seven evaluation criteria are offered for judging the effectiveness of early retirement schemes: the potential funds freed by the alternative, employee replacement rate, retirement income and annuity level, administrative feasibility, legal feasibility, political feasibility, and market feasibility. The appropriateness of each scheme is rated for each criteria.

In the last chapter, Ceasar Naples, J. Kent Caruthers, and Alexandra Naples consider the implications of collective bargaining on performance and vita..ty. Little evidence exists to say anything about their relationship, except that a potential exists for discouragement of joint administrator-faculty efforts to improve the performance and vitality of the faculty.

26:3.1/76

Mutual Benefit Evaluation of Faculty and Administrators in Higher Education, William J. Genova, Marjorie K. Madoff, Robert Chin, and George B. Thomas, 222 pp. (Ballinger Publishing Co., Cambridge, Mass.).

The authors discuss the need for programs for the evaluation of faculty, administrators, and instruction in higher education and some of the issues raised in setting up such programs. Specific recommendations for the establishment or modification of evaluation programs are offered. The book contains numerous sample rating scales from various sources, which are used for the evaluation of faculty by students, peers, administrators, and self. It also includes samples for the evaluation of courses and administrators. Also discussed is faculty evaluation in competency-based educational programs. A "Faculty Evaluation Programs Inventory" is offered in the form of a questionnaire to aid in the appraisal of an institution's existing program—covering such areas as (1) purpose of faculty evaluation; (2) sources and kinds of information yielded by the evaluation procedure; (3) flexibility, length, format, scale range, appropriateness, validity, reliability, situational factors, interaction effects, acceptance by those involved, timing, and procedures of rating scales; and (4) feedback to all those concerned.

This book could be a useful guide for establishing or assessing evaluation programs. The sample rating scales included are intended to be models—to be modified to fit the particular needs of an individual institution—and the authors provide the reader with the rationale and direction for this modification. The authors' approach to an evaluation program is a comprehensive one. They begin with a discussion of the purpose of the evaluation and of the need for clear and precise definitions of the information to be gained from the

evaluation. The selection, modification, or creation of the instrument(s) and/or procedure(s) which can best supply the needed information is then described. The next step is the actual implementation of the program. Finally, the authors provide a systematic evaluation of the evaluation procedure itself.

26:3.1/75
Scaling the Ivory Tower: Merit and Its Limits in Academic Careers, Lionel S. Lewis, 238 pp. (Johns Hopkins University Press, Baltimore).

No collection of writings on the professoriate is complete without some comment on the principle of merit. Unfortunately, most authors assume the centrality of merit in determining the careers of faculty and devote little space to the concept. The principle of merit is also important due to recent staffing policies which reflect an ideology that questions its centrality. This volume is devoted to examining the role of merit in careers of university faculty.

The first chapter reviews the university's European heritage, especially the influence of the German model. Although German scholarships and research clearly influenced the American university to become something different from the liberal arts college, Lewis questions the assumption that merit became the central principle in faculty careers.

The second chapter reviews the research on teaching and publication evaluation and its relationship to merit. Lewis notes the death of formal teaching evaluations, probably due to the difficulty in defining good teaching, and discounts the impact of student evaluation. Most evaluations of publications stress quantity, not quality. Furthermore, most publications emanate from a minority of institutions; more than 90 percent of publications are from faculty at fewer than 25 percent of the universities. Lewis concludes that "publish or perish" is not really a threat to most faculty members.

In the third and fourth chapters, the results of a content analysis of letters of recommendation from a variety of institutions, disciplines, and countries uncover three themes: knowledgeability, a facility for expression, and personality. The ability to "get along" is a frequent concern expressed in letters.

Chapter 5 reviews previous work on academic mobility, especially Caplow and McGee's *The Academic Marketplace* and Brown's *The Mobile Professors.* Lewis suggests that much of the mobility among faculty is sponsored and much of the success is by ascription. He notes the significant role played by social class and reviews much of the research on sexual discrimination.

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In a chapter devoted to the relationship between merit and academic freedom, Lewis concludes that the majority of AAUP cases deal more with ideology and "not fitting in" than with merit. He speculates on the effect of unionization on merit and especially notes the desirability of substituting objective, easily measured criteria of effectiveness for merit. Another chapter reviews the relationship between bureaucracy and merit. The author concludes that there is no evidence that tenure undermines merit and argues for a reinforcement of the centrality of merit.

26:3.1/74

Assessing Faculty Effort, New Directions for Institutional Research, James I. Doi, ed., 105 pp. (Jossey-Bass, San Francisco).

The past 20 years have seen a dramatic increase in interest in measuring faculty workload. As John Stecklin notes in the first chapter of this volume, however, most of the development in measurement during this time has been a matter of degree, not kind. Tracing examples of various workload measures from the early 1950's to the present shows the elaboration of themes present in the 1940's. During the same 20 years, however, the use of workload measures has shifted from equalizing workloads to a concern for efficiency of operation.

Paul Jedamus, examining teaching load measures in seven public universities over time, found that teaching loads grew at a slower rate than did the size of departments, and that loads increased the most in departments that grew more slowly. He also found that the dispersion between departments declined over time, and that the best predictor of teaching loads in any year was the teaching loads of previous years.

John Huther, examining faculty workloads from the state level, points out that state government interest in and motivation for deriving measures is high. Between 1971 and 1973, almost a third of the states reported legislative efforts to control faculty workloads or to collect information on them. Different kinds of data collected by different state agencies are presented as well as case studies of California and Illinois. Huther rightly points out the potential good and harm in collecting such data and cautions that workload data are nothing more than "abstractions or imaginary constructs in the budgetary process" and, as such, should not be confused with the real work being done.

That collective bargaining should have an effect on faculty workload comes as no surprise. Kenneth P. Mortimer and G. Gregory Lozier examined more than 90 negotiated contracts; they found that, although workloads are not an important issue in organizing efforts, there are indications that they are becoming more important in

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negotiations. Many nonteaching workload measures are also included in general responsibility clauses and are important parts of overall workload measures. The authors also found workload items to be more prevalent in 2-year college contracts and found little evidence that collective bargaining results in increased workload or productivity standards.

An international dimension is given by Charles Carter's consideration of faculty workloads in British universities; the meaning of "work" in academia is considered by Robert Blackburn. Blackburn's thesis is that institutional efforts to ascertain faculty workload will continue to fail due to basic methodologic and conceptual fallacies. Numerous previous studies are discussed in order to argue against the anatomical approach to partitioning of academic work. Blackburn argues that academic work is a total activity or way of life, not a job. He argues that a more fruitful conceptual framework might be one that emphasizes the whole.

3.2 Professional Development

26:3.2/80

Academic Work: Doing It Well/Doing It Better, James L. Bess, ed., 77 pp. (Teachers College Press, Columbia University, New York).

This volume brings together the papers presented at a conference on academic work at Teachers College, Columbia University in 1978. Specifically, the papers show different perspectives on the paradigms, theories, and concepts of professional development. James Bess, in the introductory paper, discusses in detail 10 salient and interpenetrating themes around which faculty development efforts have been centered. The broad scope of the differing rationales and approaches to professional development presented in this paper permit their application in even the most idiosyncratic of institutions.

A second paper by Al Smith provides a retrospective view of faculty development, tracing its history, scope, and general directions. A good review of the seminal literature is provided, and eight general principles for establishing a comprehensive faculty development and evalution program are presented.

The paper by Richard Miller addresses the question, Who needs faculty development program: (1) the politics of survival, (2) the in- compared to selected published research results. Ronald Boyer approaches the issue from another path—relating faculty development to organizational development. Boyer maintains that three major organizational areas must be addressed in starting and mainta   g a faculty development program: (1) the politics of survival, (2)   in-

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ternal management of the faculty development agency, and (3) strategies for intervention and relating to clients. Each is discussed in detail.

Roger Myers questions the utility of popular learning theory as a paradigmatic base for faculty development programs. He prefers the general class of concepts termed "developmental," recognizing their shortcomings but also emphasizing their adaptability and avenues for further research.

Gary Quehl borrows heavily from Kuhn's conception of paradigmatic development to explore the changing frameworks in the faculty development field. Quehl maintains the paradigms in faculty development have changed three times, from neglect to proliferation of faculty development practices to a more holistic approach to institutional. This last paradigm is just emerging.

David Justice also looks to the future by summarizing some of the more successful programs sponsored by the Fund for the Improvement of Postsecondary Education. By grouping similar approaches, he concludes that successful faculty development programs can be characterized by a sense of faculty ownership of developmental activities, a predetermined substance and direction, institutional willingness to support changes initiated through faculty development programs, and consortial arrangements for initiating faculty development activities.

26:3.2/79

Faculty Career Development, Current Issues in Higher Education, American Association for Higher Education, 39 pp. (AAHE, Washington, D.C.).

This collection of papers reviews what is known about faculty productivity, attitudes, satisfactions, and career growth with the underlying theme of individual and institutional cooperation to achieve complementary growth.

In the first paper, Everett Ladd, reviewing survey data on factual descriptions of professors' activities, committees, and concerns, finds most faculty thinking of themselves as teachers and professors, not as researchers or scholars. Commensurately, more than 60 percent have never published a book and less than one in four have published extensively. On the other hand, almost half spend at least 10 hours a week in the classroom. Most importantly, only 7 percent of the faculty members reported they would like to spend less time teaching and more time in research. Several tables summarize these statistics. In the second half, Ladd describes what he calls the rise of the norm of research and discusses its disadvantages.

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Applying the psychological concepts of adult development to academic careers, Roger Baldwin identifies five stages in a faculty member's career and discusses the challenges each presents. For example, consideration of significant career changes was found to occur most often in the experienced assistant professor and the continuing full professor.

B. Claude Mathis casts a wider net in defining four functional stages of the faculty career "when intervention on the part of the institution can foster personal growth and career development." He calls for broadening the view of faculty members as teachers to encompass career patterns, and linking this extended breadth to the growing career development movement.

Robert T. Blackburn makes the point that any generalizations about faculty career must be contingent on institutional type, discipline, gender, and the faculty member's primary tasks, i.e., research, teaching, and governance. Nine assertions about academic careers are made, including the idea that faculty productivity is predictable and determined to a high degree by the institution and by organizational factors, such as how time is structured and selection of colleagues.

Barbara Lazarus and Martha Tolpin, concentrating on junior faculty members, discuss cooperative efforts that have been successful in helping faculty negotiate the political and social hurdles of the academic profession.

In the last paper, Allan O. Pfnister, Jill Solden, and Nina Veraoca describe a renewal strategy—the growth contract. Based on the strengths and weaknesses of individual faculty members and departmental and institutional needs, a growth contract is a set of goals and plans for individual improvement to most effectively work within an institutional unit. Growth contracts are reviewed periodically. These researchers examined the viability of the growth contract as a planning strategy by testing its underlying assumptions on faculty at a complex university. More objection to, rather than support for, the notion was found, especially for the concept of differentiated assignments, changes in the reward system, and structured departmental planning.

26:3.2/78

A Handbook for Faculty Development, Vols. I and II, William H. Berquist and Steven R. Phillips, 619 pp. (The Council for the Advancement of Small Colleges, Washington, D.C.).

These two volumes concentrate on the pragmatic and applied aspects of faculty development. In Volume I, an introductory chapter

presents a brief theoretical overview of faculty development, including a short review of past practices. One section of five chapters discusses instructional development. Each chapter is divided into two parts; an introduction provides a narrative treatment of a specific topic, and a second part gives examples of exercises, handouts, instruments, and other devices that have been useful elsewhere. Some of the topics covered in the instructional development section include instructional evaluation, instructional observation and diagnosis, and educational methods and technologies.

Section three addresses the general topic of organizational development. Specific chapters deal with the problems of building teams of faculty members interested in faculty development, decision-making, and the management of conflict. Many of the exercises are taken from game theory and group dynamics. Improving specific skills, such as public speaking, and reexamining life goals suggest the range of topics included under personal development, which is addressed in the fifth section. Specific chapter topics include teaching and helping skills.

Section five is devoted to implementing a faculty development program with emphasis at both the workshop and program levels. Two appendixes provide lists of instructional improvement centers, programs, and newsletters published by faculty development or instructional improvement centers.

Although the second volume repeats the same section topics, it also adds a few new topics and many new instruments, handouts, and exercises. Added chapters include ones on faculty motivation, leadership, and evalution. In general, the second volume is more theoretical than the first, but both are oriented primarily toward the user looking for specific and practical aids.

26:3.2/76

Faculty Development Practices in U.S. Colleges and Universities, John A. Centra, 88 pp. (Educational Testing Service, Princeton, N.J.).

Centra presents the findings of a study begun in November of 1975, supported by a grant from the Exxon Education Foundation, of the kinds and extent of programs for faculty development in American institutions of higher education. "Faculty development," as used in this study, refers to "...the broad range of activities institutions use to renew or assist faculty in their varied roles." A questionnaire survey of 93 doctoral-granting universities, 315 4-year colleges and 326 2-year colleges examined 45 development practices grouped in the following categories: (1) workshops, seminars, or similar presenta-

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tions; (2) analysis or assessment procedures; (3) activities that involved media, technology, or course development; (4) institution-wide policies or practices, such as sabbatical leaves or annual teaching awards; and (5) a miscellaneous set of five practices. The author discusses the various development practices, their estimated use and effectiveness, the kinds of faculty members involved in them, their funding and organization, and the types of development programs reported. The final chapter summarizes the major findings and discusses some implications.

Appendixes include a copy of the actual survey questionnaire and an example of a long-term growth contract used by one college. Tables are included throughout the text which summarize the use (or estimated use), estimated effectiveness, and funding of the various development activities.

This study is of value for its accounting of both faculty development practices in use among American institutions and their estimated, effectiveness, as viewed by the coordinators of such programs at the institutions.

26:3.2/75
Toward Faculty Renewal: Advances in Faculty, Instructional, and Organizational Development, Jerry G. Gaff, 238 pp. (Jossey-Bass, San Francisco).

The purpose of this book is to analyze the efforts made by institutions of higher education to improve the quality of teaching and learning. The author begins with a description and comparison of existing programs for development of faculty, programs for improvement of instruction and organizational development, and considers each as a separate topic. He then discusses the integration of these three major types of development which actually occurs. Alternative ways of organizing for this development are described including organization through administration, faculty groups, specialized appointments, special short-term projects and instructional-improvement centers (including multi-campus centers). The politics, financing, staffing and evaluation of improvement centers are also considered. The final chapter presents the prospects for future development. The author discusses the growing movement of instructional improvement activities, especially of broader than institutional-based programs, and future needs.

Also included in this book is a directory of programs of instructional improvement at over 200 colleges and universities throughout the country whose efforts are discussed in the book, which could prove to be quite useful to researchers in the field. The book is especially

useful during this time when few new members are being added to faculties, for it recognizes the need for improvement from within.

See also: 3:2.2/76 **Publication, Teaching, and the Academic Reward Structure,** Howard P. Tuckman.

26:3.2/73
The Organization of Academic Work, Peter Blau, pp. 79-86, 101-130, 158-188, (John Wiley & Sons, New York).

Although the scope of this book extends to administrators and students, no treatment of academic work can legitimately underplay the faculty's role. Blau utilizes a conceptual framework that stresses macrosociological properties, i.e., characteristics of the organization, to explore the structure and conduct of academic work. The faculty's role is discussed throughout the book, and three major sections pertain to faculty in particular: the recruitment of quality faculty; the status of teaching and research; and the tensions between bureaucratic and professional authority.

Blau uses the percentage of faculty with terminal degrees as a measure of faculty quality, and sets out to find the factors most related to high levels of quality. Superior faculty quality in large institutions is accounted for by three specific conditions: high faculty salaries, the number of specialized departments, and the existence of graduate programs. Interestingly, when all other organizational characteristics are held constant, size is negatively related to faculty quality.

Turning to the roles of teaching and research, Blau concludes that these two activities really represent polarities, not independent dimensions. He found that factors promoting one activity tend to discourage the other. For example, as the overall quality of the faculty improves, so does the emphasis on research. The emphasis on teaching, on the other hand, drops. Salaries are also related to this phenomenon; higher salaries attract a better qualified faculty.

Another important contributor to an emphasis on research is a collegial climate supportive of research activity. Again, the best promoter of such an atmosphere is faculty salaries. An interesting paradox is uncovered when the roles of teaching and research are compared with a faculty's allegiance to an institution. The more an individual emphasizes teaching, the more loyalty he expresses to an institution. On the other hand, the greater the proportion of faculty members who emphasize teaching, the less frequently overall allegiance to an institution is observed. Blau considers the source of the paradox to be the academic prestige system.

Scholars and scientists whose accomplishments are well known in the wider academic disciplines are respected colleagues, and their presence increases the allegiance of others to an institution, but they themselves are less dependent on and attached to their local institution. By the same token, faculty members whose limited academic reputation restricts their opportunities and strengthens their allegiance to the local institution are less desirable colleagues, and large numbers of them weaken commitments to an academic community.

A separate chapter explores the tensions between bureaucratic and professional authority and the implications for academic work. Most tasks fall predominantly under one or the other jurisdictions; several, such as educational policy and faculty appointments, are the source of tension between administration and faculty. Blau looks at each with an eye toward how this tension affects the centralization of decisionmaking. With respect to formulation of educational policy, a superior institutional reputation, superior faculty qualifications, and an institutionalized faculty governing body in which large numbers of faculty participate, all contribute to a decentralization of decisionmaking. Size and high faculty salaries are the best predictors of decentralized decisionmaking with respect to faculty appointments.

Other chapters in this book are devoted to administrative structures, student body characteristics and academic performance, and institutional innovation and differentiation.

4.0 GOVERNANCE

26:4.0/7.

Governing Academic Organizations: New Problems, New Perspectives, Gary L. Riley and J. Victor Baldridge, eds., 347 pp. (McCutchan Publishing Corp., Berkeley, Calif.).

This book defines and studies the trends in higher education that have been significant since 1971. The four major ones are: (1) the increasing significance of "external forces," (2) the increase in state control, (3) the growth in faculty unionism, and (4) the end of student revolutionism.

The book is a collection of essays, arranged in five parts. Part I deals with two basic areas, the first of which is an examination of the unique organizational characteristics academic institutions possess. The second is a review of the conflicting opinions about academic diversity, that is, whether or not universities are losing their individuality. Part II explores the effects of a recessionary economic situation on innovation and reform. There are two main schools of thought expressed here—one that a shortage of funds will halt innovative plans, and the other that it will be an incentive for reforms.

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The third part evaluates the consequences of governmental and institutional controls on campus autonomy. The discussion reflects a widespread belief in the influence these controls have on local systems, but there is not agreement on whether campus autonomy has ended. Part IV deals with the roles of several major institutional groups, including faculty and administrators. Special attention is paid to the changes that have occurred in these roles and to the emergence of any trends. The last part deals specifically with collective bargaining, and, as the editors note, affects everything dealt with in the preceding four parts. The main value of this part is that most of the articles are based on empirical evidence and approach the topic in a variety of ways. For example, there are opinions on the effect of collective bargaining at both the local and system levels.

A structure which allows each expert to bring his knowledge to that subject which he knows best makes this book a good comprehensive reference. The major aim of the book is to probe the "new" problems and opinions within academe, and its timeliness is an asset to the planner.

4.1 Participation in Decisionmaking

26:4.1/78

Sharing Authority Effectively, Kenneth P. Mortimer and T. R. McConnell, 322 pp. (Jossey-Bass, San Francisco).

This book examines the basis of authority and legitimacy for American academic governance under two main themes and a series of subthemes. The first major theme is the appropriate distribution of authority between faculty and administrators. The second concerns the various claims for legitimate governance in a college or university. The book tends to concentrate on the relationships between various constituencies, but 6 of its 10 chapters directly apply to faculty participation in governance.

Chapter I, "The Legitimacy of Shared Authority," discusses the basic literature on the sharing of decisionmaking between interdependent constituents. The chapter adopts the use of terms "formal and functional authority" in an attempt to bring consensus to the prevailing disagreement about terms like "authority, power, and influence." The faculty are presumed to be the repositories of functional, professional authority.

Chapter II is a discussion of the literature and research on academic senates. The discussion of these faculty governance structures is organized under five basic categories: (1) the eligibility for membership; (2) structural factors; (3) the extent to which committee service is concentrated in the hands of a few; (4) the extent to which

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administrators are represented on faculty governing structures; and
(5) the problems of multicampus faculty governance structures. The
chapter draws on original cases from the authors' own research.

Chapter III is a discussion of the impact of collective bargaining
on faculty governance. Chapter IV, "Faculty Interaction With Ad-
ministrators and Students," reviews the status of traditional gover-
nance relationships at three universities. The second part of the
chapter contrasts faculty-administrative relationships under collective
bargaining. The authors conclude that collective bargaining need not
necessarily lead to the demise of systems of joint faculty-administra-
tive-student involvement in governance, and conclude that there is lit-
tle certainty as to the extent to which adversary conditions will come
to characterize faculty relationships with students and administrators
under collective bargaining.

Chapter V provides a 25-year history of the conflict between the
regents of the University of California and the faculty and conveys
how tenuous functional authority is when faced with the formal
authority of trustees.

Other chapters in the book deal with central administrative
leadership, accountability and external constraints, statewide coor-
dination and external constraints, and decentralization versus cen-
tralization.

The final chapter argues for a process orientation to academic
governance. This consultation process consists of at least six elements
as follows: (1) early consultation; (2) joint formulation of procedures;
(3) time to formulate responses; (4) the availability of information;
(5) adequate feedback; and (6) communication of decisions.

26:4.1/71

Shared Authority on Campus, Morris Keeton, 168 pp.
(American Association for Higher Education, Washington,
D.C.).

This book is important more for the questions it raises than for
the data it summarizes. It is a report on the Campus Governance Pro-
gram, conducted under the auspices of the American Association for
Higher Education in the late 1960's and early 1970's. A companion
piece published 4 years earlier is too old to include in this
bibliography, but is still one of the more lucid statements on the sub-
ject (Weber, Arnold et al., *Faculty Participation in Academic Gover-
nance,* 1967).

Chapter I sets forth four grounds for claiming the right to share
in governing: (1) Those affected by campus activities should have a
part in their control; (2) those who are most competent should have a

voice; (3) those whose cooperation is essential to the effectiveness of the campus should have a voice; and (4) those whose sponsorship and resources create and sustain the institution are entitled to protect and further their purposes and interests.

The book argues that the primary justification for faculty voice in campus governance is the fact that only faculty have the kind and number of qualifications essential to complete the tasks of a college or university. The chapter then discusses the roles of other campus constituencies in governance.

Chapter II discusses rather complex research projects and is, according to the authors, very heavy going. The data are interesting, but difficult to interpret, because they are presented in fragmented form.

Chapter III is a good discussion of three basic concepts in academic governance—consent, accountability, and leadership. Six observations about the meaning of consent and its achievement on campus have emerged from the reflections of this group. The authors point out that consensus should not be confused with unanimity, and that a working agreement can be facilitated by attention to the timing of decision processes, their content, and the different contributions possible for each group of constituents.

The discussion on the second element—decentralization— recognizes that the sharing of authority on campus sometimes takes the form of joint participation in deciding (within defined limits) that one party will make the decision alone. At other times, the decision takes the form of joint participation by various constituents.

Other elements of consent include agreement about the way in which goals, programs, and policies are reached; some of the difficulties in achieving the potential of a campus to use its faculty and administrators' and students' competences in governing; and the inherent complexities and tensions in the representation of competing interests.

The discussion on strategies of power-sharing in campus governance hinges on the distinctions between zero sum games, the positive sum game, and the nongame. The authors attempt to point out the frustration in governing when zero sum game ideology prevails.

The discussion on accounting to the consenters tries to set forth a number of characteristics of good account rendering that will sustain the legitimacy and trust of governance systems. The authors argue for precise articulation in reporting to the effected constituency, regular and timely audits to permit timely reconsideration of agreements, audits that are creditable to those to whom account is being rendered, and accounting adequate to the function it is seeking to perform.

The discussion on leadership draws heavily from the principles of democratic government. Leaders must have the confidence of their

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principal constituents, must be able to work effectively with other leaders who differ sharply from them, and must give priority to overall institutional effectiveness. The principal interest of this discussion is that, in an academic organization, the faculty's expectations of its administrative leaders are crucial to the leader's effectiveness.

4.2 Legal Issues

See: 20:2.3/78 **The Law and Higher Education,** William A. Kaplin.

This book provides a comprehensive treatment of the ever-expanding and quickly changing relationships between higher education and the law. The above referenced pages are specifically devoted to the law as it pertains to faculty. As Kaplin notes, the core of the legal relationship between higher education institutions and their faculty is contract law, but the growing complexity of the relationship is evidenced by the pertinence of labor relations law, employment discrimination law, and (at least for public institutions) constitutional law, employment statutes, and regulations. Each of these legal areas is addressed in the chapter.

The first section discusses the employment contract—what it is, how it can be amended, waiver of its rights, and the special contract problems in public institutions. For example, public institutions' relationships with faculty may be defined both by statute and administrative regulation. Liberal references to case law provide good examples of the general principles discussed in each section.

The arrival of collective bargaining on campus also hastened the arrival of labor relations law. Various topics covered in the discussion on collective bargaining and the law include the public-private dichotomy (i.e., private sector bargaining is governed by different law than that in the public sector), organization, recognition, certification, bargainable subjects, and collective bargaining and antidiscrimation laws.

A third section is concerned with nondiscrimination in employment. As Kaplin points out, this area is covered with more overlapping statutes and regulations than any other in higher education. "The Federal Government has no less than eight major employment discrimination statutes and one major, executive order applicable to postsecondary education, each with its own comprehensive set of administrative regulations or guidelines." Additionally, many states have added their own statutes, although Federal antidiscrimination statutes have assumed greater importance. Sections of titles VII and IX, Executive Orders 11246 and 11375, the Equal Pay and Age Discrimination in Employment acts, and section 1981 define the

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various groups specifically protected. Another section discusses the constitutional prohibitions against employment discrimination, principally, the equal protection clause of the 14th amendment, and affirmative action.

Two sections address the standards, criteria, and procedures involved in faculty personnel decisions, concentrating on due process. The two landmark Supreme Court cases, Board of Regents v. Roth and Perry v. Sindermann, are reviewed extensively as well as a nonhigher education but related case, Bishop v. Wood.

Another section presents case law pertaining to faculty academic freedom, presenting the background and general principles and differentiating between academic freedom in the classroom, in institutional affairs, and in private life. The last section is devoted to staff reduction due to financial exigency. Various legal aspects of the six preceding sections pertain to this topic. The chapter closes with a topical annotated bibliography.

26:4.2/73

The Colleges and the Courts: Faculty and Staff Before the Bench, M. M. Chambers, 260 pp. (The Interstate Printers and Publishers, Danville, Ill.).

A central theme running through this volume is the extension of the civil rights guaranteed by the U.S. Constitution to the relationship between colleges and universities and members of their faculties. Twelve chapters review cases touching on such subjects as the contract, tenure, promotion and salaries, freedom of speech and assembly, and discrimination.

The first chapter introduces some of the concepts of college law by reviewing cases on the inception of faculty contracts. The point is made that no contract begins until voted by the board of trustees. After a contract is issued, the nontenured, short-term faculty member has certain rights, which are discussed at length in chapters 2, 3, and 4. Recent Supreme Court decisions affirm the centrality of state law in faculty contract matters; Federal involvement usually stems from claims of violations of the 1st and 14th amendments. Chapter 4 is devoted exclusively to the two Supreme Court cases of 1972, Roth and Sindermann, and the implications of each.

Chapter 5 is concerned with the acquisition of tenure, promotion, salaries, leaves of absence, and other conditions of employment. Chapter 6 reviews court cases dealing with discharge for cause, suspension, resignation, and retirement. A great deal of the law stresses questions of due process.

Chapters 7 through 10 should be read as a group as they deal with the expanded entitlements of faculty members under the 14th amendment, the Bill of Rights, and the Civil Rights acts. Specifically, chapter 7 deals with discrimination on the grounds of race, religion, sex, and ideology. The author finds sex bias to be prevalent despite prohibition by civil rights legislation and executive orders. Few court cases, however, are available for review. Chapter 8 reviews the renewed interest of the courts in the extension of first amendment guarantees to faculty. Closely related is the recent spate of court decisions against loyalty oaths and other disclaimers as conditions of employment. These cases are reviewed in chapter 9. The rights of faculty members to belong to organizations of their own choice, including organized labor groups seeking collective bargaining, is upheld by several court cases, reviewed in chapter 10.

The last two chapters extend the principles gleaned from the previous 10 to nonfaculty staff, administrators, and in some cases, even board members.

Although this volume would benefit from more interpretive comment, the narrative style used to present often complex legal points and jargon makes it easy to grasp the essential points of each case. This volume serves well as a broad-based introduction to the subject of faculty and the law.

4.3 Impact of Unionization

26:4.3/77-1

AAUP Policy Documents and Reports, American Association of University Professors, 98 pp. (AAUP, Washington, D.C.).

This publication, commonly referred to as the "Redbook," is the compilation of policy statements and guidelines of the AAUP. Included is the 1940 Statement of Principles and the 1970 interpretive comments on this document, as well as statements on a range of topics from 1956 to as recently as 1976. Topics cover academic freedom; tenure and due process; college and university government; collective bargaining; professional ethics; student rights and freedoms; college and university accreditation; research and teaching; and collateral benefits. The Constitution of the Association is also included in this publication. While some of the reports include discussion of the rationale for the particular policies, others state only the policy. These statements are valuable, however, not only for their implications for AAUP member institutions, but also for consideration by policy makers and planners in the development of their own policies regarding faculty. The Redbook is available from the AAUP at a minimal

charge and is revised periodically. The first edition, appearing in the late 1960's, was revised in 1973 and again in 1977.

26:4.3/77-2

Handbook of Faculty Bargaining, George W. Angell, Edward P. Kelley, Jr., and Associates, 593 pp. (Jossey-Bass, San Francisco).

The purpose of this book is to show how collective bargaining can be a constructive and useful force in a university. It combines the talents and expertise of a large number of people coming from a variety of vantage points, including union leaders and administrators.

The essays in the book are arranged in five sections. The first part reviews the general difficulties and opportunities identified with collective bargaining. It also describes the initial steps necessary in beginning the collective bargaining process.

The second part discusses various aspects of negotiating a contract. The main objective of this section is to review the most constructive methods of handling the actual bargaining.

The third part deals with the long-term administration of the contract. It explores the necessity of handling grievance procedures efficiently. There is also a discussion on planning for future contract negotiations.

The challenges of statewide collective bargaining are discussed in the fourth part. The analysis concentrates on the need to maintain the autonomy of individual universities and campuses and to realize statewide objectives.

The closing part is directed towards the problems of union's effects on budgets, "traditional faculty-administrative relationships," and how to deal with them effectively.

One of the main advantages of the format of this book—a collection of essays—is that it allows each individual to apply his expertise to the topic or topics he knows best. George W. Angell and Edward P. Kelley perceived the collection as "a 'how to' book for administrators" whose main point was that faculty unions can be constructively used for the good of universities when the administration is a prepared and active member in the bargaining. Most of the essays cite specific historical examples to reinforce the materials each author provides.

26:4.3/77-3

Faculty Bargaining in Public Higher Education: A Report and Two Essays, Carnegie Council on Policy Studies in Higher Education, 183 pp. (Jossey-Bass, San Francisco).

This book includes reports on two policy studies conducted for the Carnegie Council on Policy Studies in Higher Education, as well as the Council's own conclusions regarding these studies.

The first, conducted by David E. Feller and Matthew W. Finkin, was designed to define and analyze aspects of collective bargaining for faculty which "present themselves as choices of public policy to be resolved in State enabling legislation." The three objectives set by the authors for this study were: (1) identification of the legislative issues in higher education, (2) examination of the methods used by existing legislation to deal with those issues, (3) recommendation of the best ways of dealing with them. The primary focus of the study was on public institutions and on state legislation governing collective bargaining in these institutions. The issues have been grouped into three categories: the definition of the appropriate bargaining unit, the structure of bargaining, and the scope of bargaining. A number of statutory provisions have been recommended for inclusion in a public employee law. These provisions cover the definitions of a "Labor Organization" or "Employee Organization," a "Supervisor," and "Managerial Employee"; the determination of an appropriate bargaining unit; the bargaining structure; the scope of bargaining; and union security. Tabular summaries are presented of statutory provisions in the 21 states which have statutes of collective bargaining. These summaries cover the criteria used for bargaining unit determination and the scope of bargaining.

The second study included in this book was conducted by Joseph W. Garbarino. The author, one of the leading authorities in the field of collective bargaining, reports on key issues in faculty bargaining which have emerged in actual practice and in collective bargaining legislation in seven major states. The administrative aspects of collective bargaining in New York, New Jersey, Pennsylvania, Massachusetts, Rhode Island, Michigan, and Hawaii are summarized and discussed in relation to five problem areas—the identity of the employer in the bargaining structure, the budget process, students' role in faculty bargaining, collective bargaining in multi-institutional systems, and the relationship between bargaining units and internal institutional administration.

26:4.3/76

Faculty Bargaining, State Government, and Campus Autonomy: The Experience in Eight States, Kenneth P. Mortimer, ed., 106 pp. (Pennsylvania State University, University Park, Pa., and Education Commission of the States, Denver, Colo.).

This book contains a collection of papers dealing with the collective bargaining experiences in eight states. The states are divided into two groups. The first is "The Experienced States," which includes Michigan, New Jersey, New York, and Pennsylvania. The second group ʼii Massachusetts, Alaska, and Montana, gathei "Some Newer Experiences."

Tʌ ʌ .ʌds ʌo concentrate on three basic topic areas: "the nature and scope of bargaining legislation, the organization of state government and the structure for collective bargaining in the state, and the nature of systemwide campus authority relations under collective bargaining."

A closing summary by William M. Weinberg, entitled "Patterns of State-Institutional Relations Under Collective Bargaining," compares and evaluates collective bargaining in the eight states. His remarks focus on four areas: the first deals with the general nature of collective bargaining; the second deals with the "four basic structural, state-level patterns of faculty bargaining"; the third discusses the composition of bargaining units; the fourth deals with "the centralization of faculty personnel policies," a trend commonly related to bargaining. The paper closes by exploring "the quality versus homogenization versus institutional distinctiveness dilemma." Six propositions, reflecting the experience prior to September 1975, conclude the report.

This collection can be of value in faculty planning in that it provides case studies which can be useful to persons interested in similarly structured situations, as well as to researchers studying general observations which can have wider application.

26:4.3/75-1

Collective Bargaining, the State University and the State Government in New York, E. D. Duryea and Robert S. Fisk, 51 pp. (State University of New York, Buffalo).

The purpose of this report is to study the effect of collective bargaining ʌʌ the relationship between the state government and the State Lʌ ʌʌ ʌʌ ʌ New York.

The report is divided into five sections. The first is an historical look at faculty bargaining and its beginnings at SUNY. The second

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section discusses the methods and sources used in the study. These in-
cluded many individual interviews. The organizational and legal
aspects of collective bargaining at SUNY are reviewed in section three.
The fourth section contains analysis and the generalizations which
resulted from the findings. The fifth section discusses the implications
of the findings for general public policy development. These implica-
tions are summarized in seven generalizations. (1) Collective bargain-
ing urges more centralization of control, and thus an increasing loss of
autonomy. In this respect, collective bargaining is significant in con-
ducting academic affairs at all institutions. (2) The organizational
systems used by most state will lead to "an increasing formalization
of relationships." (3) Planning for long-range academic goals will be
hindered by unions. This is cause unions, which are by nature con-
servative, interpret protecting their members' rights as keeping the
status quo. (4) Those unions which have national or statewide affilia-
tions have found it more-convenient to avoid normal academic pro-
cedures, and hence, appeal directly to state executives or legislatures.
(5) Collective bargaining undermines existing forms of faculty gover-
nance. (6) There is also a danger, as SUNY discovered, that the union
will establish a group in the state government that influences all
academic decisions. (7) Collective bargaining also competes with
governing boards.

The authors conclude by reaffirming their opinions that
autonomy must be maintained and that collective bargaining is going
to increasingly influence autonomy. Though focused on New York
State, the volume can be extended to apply on a more univeral level
to other state systems. Maintaining institutional autonomy is a broad
concern of most academicians, and planners will profit by reviewing
this case.

26:4.3/75-2

Faculty Bargaining: Change and Conflict, Joseph W. Gar-
barino, 278 pp. (McGraw-Hill Book Co., New York).

The author begins his discussion by commenting on the major
changes that academic institutions have faced in the past two decades.
He also observes that it is academic professionalism that makes pro-
fessors reluctant to turn to the industrial style of governance, collec-
tive bargaining.

He then moves into the changes occurring in faculty representa-
tion. Garbarino describes the situation as a combination of manage-
ment with an administrative hierarchy, individual participation in
governance, and bargaining between interest groups. He believes the
trend is toward a change in the role of faculty involvement in gover-
nance from the traditional to the more structured.

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The third chapter deals with the reasons faculty members decide to unionize. Garbarino offers nine propositions which define the existing trends.

An examination follows of the relationships between the various parties involved in collective bargaining. He notes that the methods of industrial bargaining are often inappropriately applied to academic issues. This is especially common when the issue is a shared one, because the goals of academia and industry are different. This chapter closes with four case studies New York, Michigan, New Jersey, and Hawaii.

The next chapter begins by examining the two main types of faculty unionism, guild and comprehensive. This is related to the main thrust of the chapter, which is an evaluation of the issues of collective bargaining. Garbarino concludes that the trend in higher education is toward a system of mass higher education. He sees the movement pro-
vating an opportunity for less privileged groups to make gains in their positions while the more privileged groups are intent on preserving their position. Faculty unions provide the means, however, and the less privileged groups are tending to be more active.

The book also includes a chapter by Bill Aussieker concerning the higher incidence of collective bargaining in community colleges. Aussieker feels that the community colleges can provide information valuable to 4-year institutions.

Garbarino also explores unionism in Great Britain as a possible model for American institutions. He concludes, however, that the British universities will tend to adopt a system much like the American.

The final chapter is a recapitulation of the more important points. Garbarino concludes that universities have more to fear from environmental and other outside influences, which unions are a reaction to, than from unions themselves.

26:4.3/75-3

Unions on Campus, Frank R. Kemerer and J. Victor Baldridge, 248 pp. (Jossey-Bass, San Francisco).

The authors, focusing primarily on the *impact on governance* of faculty bargaining, predict that faculty bargaining will have an ever-increasing effect on academic governance. This book discusses some of the findings which have led to this prediction—findings drawn from a major research effort, the Stanford Project on Academic Governance, begun in 1971. Their discussion commences with a summary of facts about faculty unions. A preview of 27 conclusions serves as an outline for the six following chapters.

Among these conclusions, the authors cover some of the follow-
ing areas: the compatibility of collective bargaining, or lack thereof,
with the "collegial," "political" or "bureaucratic" concepts of cam-
pus governance, the critical forces promoting the growth of unions
and the factors which influence the effect of bargaining on gover-
nance, the progress unionization has made in academe, areas where
bargaining has made a positive impact and where it has resulted in
negative consequences, the relationship of unions and faculty senates,
the technical burdens of bargaining on administrations and the resul-
tant changes in the latter, and directions and implications of unioniza-
tion for the future. The authors examine patterns, causes, and the
scope of collective bargaining. Expanded chapters deal with the conse-
quences of faculty bargaining on personnel decisions, academic
senates, and campus administration. The final chapter offers an im-
portant evaluation of faculty collective bargaining. It begins with a
summary of the authors' belief in the political nature of faculty
bargaining which conflicts with the academic life in terms of decision-
making, evaluation, and other areas of concern to an academic in-
stitution. The authors end with discussion on the potentially positive
and negative aspects of collective bargaining, which leads them to
"call for statesmanship" and joint participation by faculty members
in working for academic goals.

26:4.3/73

Collective Bargaining Comes to Campus, Robert K. Carr and
Daniel K. Van Eyck, 314 pp. (American Council on Education,
Washington, D.C.).
The authors begin with a brief history of the development of col-
lective bargaining nationally and in academia. They then proceed to
explore the reasons why professors turned to collective bargaining—
dissatisfaction with various aspects of academic life being cited as the
primary reason. The authors make no behavior generalizations,
stating that sufficient data are not yet available upon which to make
any judgments.
The authors next turn to the legal aspects of collective bargain-
ing. They deal with the conflicts that arise between legal requirements
and university goals. A point which is dealt with in detail is the defini-
tion of an appropriate bargaining unit, because "there is probably no
aspect of the total process of collective bargaining that poses a greater
risk to the long-term interests of the faculty...."
The authors continue with a discussion of the various organiza-
tions in existence which can be selected as bargaining agents. The three
major groups, the National Education Association (NEA), American

Federation of Teachers (AFT), and American Association of University Professors (AAUP), are discussed in detail.

The specifics of the process of collective bargaining are also explored. The questions of who does the bargaining, how an agreement is negotiated, and the ways faculty can influence a decision are set forth. Attention is paid especially to the effectiveness and ramifications of a strike. The book also examines the administrative aspects of collective bargaining.

Finally, the authors offer their evaluation of collective bargaining. They explore the changes that bargaining has brought about, noting both positive and negative ones, and speculate about the future of collective bargaining and its increasing hold in academia. They reflect on the dangers of univeral acceptance of unionization among college campuses.

Throughout the book, the authors make reference to case studies, court records, and survey findings to substantiate their own interpretation of the faculty bargaining story, but avoid *focusing* on and *developing* case studies, statistical analysis, and collection of facts.

This book offers a broad view of collective bargaining in 4-year institutions through June 1972. Though an early volume, the authors do provide "an orderly and generally dispassionate account" from an insightful historical perspective which will be found quite useful by future observers of faculty bargaining.

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Health Science Education

Stanley W. Olson

"Health science" designates a group of disciplines, in-
cluding medicine, dentistry, nursing, pharmacy, and the allied
health professions (physical and occupational therapy, medical
technology, and other technical fields). Many universities not
only teach and conduct research in these disciplines; they also
operate health sciences centers that provide highly skilled
services to patients requiring care either in hospital beds or as
outpatients. The management of a health care facility is an
undertaking of increasing complexity, and specialized education
in hospital administration is required; some universities provide
such programs.

The number of nursing programs leading to baccalaureate
degrees has grown greatly, but they still enroll a minority of the
nurses educated each year. Nevertheless, from among these
graduates come the academic and managerial leaders in nursing,
usually after they supplement their undergraduate experience
with graduate work in education, a clinical field, or social or
management science. Because the baccalaureate degree has
become a requirement for advancement in nursing, great
pressures have developed on schools awarding the degree to

provide special programs enabling nurses with R.N.'s or
associate degrees to complete the requirements for bac-
calaureate degrees with advanced standing.

A few schools of nursing have assumed responsibility for
the management of nursing services in their university hospitals
as a means of strengthening their resources for clinical instruc-
tion and research. Most schools, however, continue to use
hospitals for clinical instruction, and not for programs on
managing nursing services. Many schools have sought oppor-
tunities for clinical instruction in ambulatory care settings where
greater emphasis is placed on the prevention of illness or on the
maintenance of health.

Great advances have been made in preventive dentistry as a
result of faculty research. Most schools have also developed
programs for oral hygienists. These efforts have reduced the
demand for more dentists as compared to the demand for more
nurses and physicians

Schools of pharmacy have begun to shift their emphasis
away from the concept of a pharmacist as a dispenser of drugs
to a broader concept of a pharmacist as a provider of a variety
of different services—ranging from pharmaceutical research, to
observing the effect of drugs, to providing information to physi-
cians, nurses, and patients.

As an outgrowth of the explosion of health knowledge,
medicine has become a highly specialized discipline, and most
physician graduates have sought training in a specialized field.
The university, responding well in the production of specialists,
has been relatively slow, however, in meeting the concurrent
growing need for general physicians. Pressed by state and
Federal funding agencies, university medical schools have begun
to respond by establishing departments of family medicine.
Departments of internal medicine and pediatrics have also
begun to emphasize primary care training, especially in am-
bulatory care settings.

In the past two decades, the number of physicians
graduated annually has more than doubled as a result of in-
creased enrollment at existing schools and because of the
establishment of more than 25 new medical schools. At the pres-
ent rate of production, there is now widespread concern that the
United States will have an excess of physicians by 1990. Con-

trary to a thesis advanced a decade ago, that an excess of physi-
cians would evoke competition and drive costs down, some
experts are now expressing the opinion that all physicians
generate substantial amounts of health care services in addition
to those they personally provide and that increasing the number
of physicians cannot help but also increase health care costs.
Those holding these views firmly resist the establishment of ad-
ditional medical schools or the expansion of class size.

The huge cost of constructing and operating an academic
medical center with its integral university hospital has led a
number of universities to establish medical schools that rely on
existing community hospitals for instruction in clinical
medicine. These community hospitals are viewed as superior
locations for instruction in family medicine and primary care.
The professional milieu of the community hospital differs con-
siderably from that of the traditional academic health center,
and new patterns of academic organization have evolved to pro-
vide instruction in such settings. The evolution of the so-called
community-based medical school has been applauded and
criticized; applauded for its emphasis on primary care, criticized
as inferior to established patterns of medical education.

TOPIC ORGANIZATION

27: Health Science Education

   1.0 General

   2.0 The Disciplines

      2.1 Medicine

      2.2 Dentistry

      2.3 Nursing

      2.4 Pharmacy

      2.5 Allied Health Professions

   3.0 Health Manpower Issues

   4.0 Management and Economics

   5.0 Administration of the Academic Health Center

1.0   GENERAL

27:1.0/76

Progress and Problems in Medical Education, Federal Support
versus Federal Control, Carnegie Council on Higher Education,
178 pp. (Jossey-Bass, San Francisco).

This volume is a sequel to the report of the Carnegie Commis-
sion on Higher Education on medical and dental education, which was
published in 1970 (see 27:1.0/70). In the introduction, the Council lists
the effect of the earlier report on the provisions included in the Com-
prehensive Health Manpower Act of 1971. It then goes on to issue
several warnings and recommendations:

Warnings: (1) Too many medical schools are being developed,
and both Federal and state governments should take steps to stop the
trend; (2) Excessive and unwieldy Federal controls may be adopted
instead of policies emphasizing incentives to achieve better distribu-
tion of health manpower; and (3) The United States must cease to rely
on foreign medical graduates.

Recommendations: (1) The Federal Government should pursue a
stable course of support for university health science centers; (2) There
should be greater Federal-state cooperation in overcoming geographic
maldistribution of health manpower; (3) The Federal Government
should provide incentives for students and schools to emphasize
primary care training, rather then establish complex Federal controls;
and (4) The Federal Government should pursue a stable and consistent
policy of support for health sciences research.

The report lists the locations in the United States where new
medical schools had been established. Some are in areas previously en-
dorsed by the Carnegie Commission; others are in areas where only
the development of area health education centers had been recom-
mended. The reader is left with the impression that the authors of the
current report, having rubbed the lamp to produce more physicians,
are now alarmed that they may have initiated a process that is
dangerously out of control. The call for state and Federal govern-
ments to take steps to control this situation contrasts with the Com-
mission's warnings against further instrusion of the Federal Govern-
ment into medical and dental education.

As Eli Ginzberg notes, the report makes an important contribu-
tion to an understanding of "the interplay...between the inner
political dynamics of the health manpower sector and the outer
political dynamics of the political society in which it operates...."

27:1.0/74

Costs of Education in the Health Professions, 284 pp. (National Academy of Sciences, Washington, D.C.).

This landmark study of the costs of education in the several health professions was conducted by the National Institute of Medicine. Dr. Julius Richmond served as chairman of the steering committee and Ruth Hanft as the study director. The study was undertaken at the request of Congress to assist in determining the appropriate role of the Federal Government in support of health education.

After reviewing the history of Federal support of health, a comprehensive summary is given of the number, size, location, control, and aggregate budgets of the schools of medicine, osteopathy, dentistry, optometry, pharmacy, podiatry, veterinary medicine, and nursing. The amount and distribution of Federal funds to these schools is shown for four fiscal years, 1971-74.

To determine the average annual educational cost per student for the school year 1973, an extensive field study was undertaken at 82 carefully selected schools representing the disciplines listed above. Severe problems were encountered in allocating costs among the often-interrelated activities of instruction, research, and patient care. The complexity of the problem was compounded when classes contained more than one type of student (e.g., medical students and house officers together), as was often the case, and when house officers were not only students but teachers as well.

The average educational costs for the academic year 1972-73, including the amounts of research and patient care considered essential to education, were computed as follows: medicine, $12,650; osteopathy, $8,950; dentistry, $9,050; optometry, $4,250; pharmacy, $3,550; podiatry, $5,750; and veterinary medicine, $7,500. In the field of nursing, baccalaureate costs were $2,500; an associate degree, $1,650; and an R.N. diploma, $3,300.

In a subsequent section of the report, a net educational cost was computed by subtracting the amounts received for research and patient care. It was recommended to Congress that capitation payments be made in the range of 25-40 percent of net education costs to insure financial stability for the health professions schools.

27:1.0/71

American Medicine and the Public Interest, Rosemary Stevens, 572 pp. (Yale University Press, New Haven, Conn.).

The author has previously published an authoritative account of the effect of specialization on the development of the national health

service in England. In this book, she builds on that background and describes the quite different effect of medical specialization on the development of health care services in the United States.

A sense of crisis in the health care system has been brought about, in part, by the rapidly rising costs of health service. Equally important, however, is the widespread recognition of the expanding potential value of medical services. This increased value is a direct outcome of the great advances in applied medical technology which, in turn, have led to an increasing tendency for physicians to limit their services to discrete fields.

Part I of the volume describes the early development of American medicine and the influence of European centers on medical education. The rapid settlement of a huge land mass and the influx of a large immigrant population were factors influencing the establishment of a large number of medical schools to supply physicians for the expanding population. The quality of these schools was so low that it evoked, at the turn of the last century, a strong impetus toward standardization of training. The American Medical Association proved to be a potent force in this movement; achievement of this goal helped to make the association the dominant medical organization in this country.

The next two sections of the book describe the evolution of specialties, as a result of the application of scientific principles and techniques to medicine. It is Stevens' thesis that the American Medical Association, founded, as it was, on the strength of a standardized physician engaged in general practice, was philosophically opposed to the evolution of those cooperative plans for medical care which the appropriate use of medical specialists required. As a result, specialist education and certification were divorced from logically interconnected manpower and organizational issues.

This country is now reexamining and reevaluating the political and professional aspects of medicine which developed independently rather than in an interrelated fashion. The author has written a remarkably comprehensive account of governmental efforts during the past 40 years to accommodate the needs of people for improved health services, yet supporting the concept of an independent medical profession. The account, rendered with the objectivity of an historian, nevertheless presents a viewpoint that will be of inestimable value to anyone interested either in medical education or in improving the delivery of health care services.

27:1.0/70

Higher Education and the Nation's Health, A Special Report and Recommendations, The Carnegie Commission on Higher Education, 128 pp. (McGraw-Hill Book Co., New York).

Under the direction of Clark Kerr, the Carnegie Commission has addressed a wide array of matters of fundamental importance to the system of higher education in this country. This monograph on medical and dental education is but one of the publications issuing from this effort.

Among the Commission's goals for 1980 are the following: expansion of the functions of university health sciences centers to assist in the development of improved health care systems; expansion of educational programs to produce physician and dental assistants; acceleration of medical and dental education; consolidation of instruction in the basic sciences on main university campuses; a 50 percent increase in medical school entrant places; initiation of nine new university health science centers; policies to encourage admission of women and minorities to schools of medicine and dentistry; a 20 percent increase in dental school entrant places; and development of approximately 126 area health education centers affiliated with university health science centers.

The report has substantially affected national planning efforts for medical and dental education and has been widely quoted by groups interested in expanding enrollment in these fields.

The sections on financial support and the Federal Government, the role of the states, the role of comprehensive colleges, and the role of foundations are well written and contribute to the comprehensiveness of the monograph.

As one looks back, after a decade, at the Carnegie goals in the health education fields, the aims still seem soundly conceived, even though some may have been defined in excessive detail (e.g., the location of new medical schools).

A subsequent report was issued in 1976, *Problems and Progress in Medical and Dental Education* (see 27:1.0/76). In that report, the Council exhibited an unseemly possessive attitude toward the development of the fields of medical and dental education. It criticized schools that had emerged in areas not endorsed by the Commission and issued warnings against the further increase of places for medical and dental entrants.

A private foundation can arouse public sentiment to consider educational issues, but it hardly has a mandate to insist that its blueprints be adopted.

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27:1.0/65

Planning for Medical Progress Through Education, Lowell T. Coggeshall, 107 pp. (Association of American Medical Colleges, Evanston, Ill.).

The. "Coggeshall Report" examined the role that the Association of American Medical Colleges played in society in view of far-reaching changes then evident in medicine and in medical education. Recommendations offered, later adopted by the AAMC constituency, resulted in an expanded organization that represents the academic medical center—its medical school, teaching hospitals, faculty, and students. Among its recommendations was a relocation of the organization in Washington, D.C., which was phased over the 5-year period 1965-1970.

Note: Both the American Association of Medical Colleges (1 Dupont Circle, NW, Washington, D.C.) and the Council on Medical Education of the American Medical Association (535 North Dearborn, Chicago, Illinois) publish reports, directories, and other materials in the field of health education that are too numerous and detailed to list in this bibliography.

2.0 THE DISCIPLINES
2.1 Medicine

27:2.1/80

Educating Medical Teachers, George E. Miller, 235 pp. (Harvard University Press, Cambridge, Mass.).

"A trade can scarcely be mentioned," a speaker told the Chicago Practitioners Club in 1892, "in which yound men are taught their work in so irregular a manner as they are taught the theory and practice of medicine." That was not the first nor the last time such a sentiment was expressed, but little was done to repair the deficiency until the 1950's, says George E. Miller. At that time, the medical school at the University of Buffalo (now the State University of New York at Buffalo) began holding informal seminars on medical education.

Dr. Miller's *Educating Medical Teachers* is a detailed history of the research that has been done on the education of health professionals since the start of the Buffalo Project in Medical Education in 1950. Dr Miller, a junior faculty member at Buffalo when the project began and now professor of medical education at the University of Illinois, has been involved in the training of medical faculty members for three decades.

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In addition to a historical survey, Dr. Miller offers an analysis of the difficulties now facing advocates of teacher training for medical professors. He makes several recommendations. For instance, he suggests that universities should not organize separate programs for medical educators under the control of education faculties. "Faculty development," he says, "must be an integral part of the academic setting with which participants identify....Professional schools of education cannot do it alone or even be perceived as the primary movers in the work."

Nevertheless, Dr. Miller admits that "education is still a soft science in the eyes of many hard-headed medical teachers, one that must prove its worth before being admitted as an equal into the walled world of medicine."

27:2.1/79-1

Humanism and the Physician, Edmund D. Pellegrino, 248 pp. (University of Tennessee Press, Knoxville).

The author, former medical director of a hospital, chairman of a department of medicine in a medical school, and dean of a medical school and vice president for health sciences, among other positions, has had a distinguished career in medicine. He now serves as president of The Catholic University in Washington, D.C.

The topic, humanism and medicine, is one that has acquired considerable importance within the medical curriculum as medicine has developed ever greater technological capabilities. Physicians must help manage this technology for the benefit of their patients, a task that requires them to understand themselves and their patients as human beings. "The moral center (of medicine)," Pellegrino notes, "is the moment of clinical truth when fact and value, possibility and purpose, must be weighed in the interest of a particular human being in the vulnerable state of illness."

In this collection of his own essays, the author examines medicine and the humanities as intellectual disciplines in the university, then as areas within which significant moral and ethical decisions must be made, and, finally, as interacting forces in the education of physicians and other health workers.

The commonly held view that exposing medical students to humanities courses during their premedical studies will somehow prepare them to be more humane physicians is critically examined and rejected. The route to liberal education and cultural awareness, Pellegrino believes, should be through professional and technical studies for the largest proportion of students. Student motivation can be enhanced by early immersion in medical studies, and this enthusiasm can be channeled into the acquisition of a humanistic

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outlook. A wide variety of humane studies—sociology, ethics, history of ideas, social psychology, anthropology, philosophy—can be taught around the patients with whom the student becomes involved as a physician-in-training. To conduct such instruction, however, Pellegrino advises against teachers who are physicians and who have become interested in humanistic medicine. He much prefers that scholars in the humanistic disciplines become the principal instructors of medical students by engaging with medical professionals to focus on medical problems. It is important, too, that these scholars maintain their university orientation and their own professional contacts—and not be co-opted into the medical faculty.

It is impossible to summarize the breadth of scholarship and insight Pellegrino brings to the subject of humanism and medicine. Suffice it to say that he is as fully at home in the field of philosophy as he is in medicine. He criticizes the deficiencies of both disciplines, but is passionately devoted to the thesis that physicians and philosophers need each other more than they know. Students of medicine will be better physicians when a more effective system of education is devised to teach them the relevance of the humanities to the daily practice of a branch of science that has inescapably moral overtones.

27:2.1/79-2

Medical Education Since 1960—Marching to a Different Drummer, A. D. Hunt and L. E. Weeks, eds., 393 pp. (Michigan State University, East Lansing).

More than 30 new medical schools, including some in Canada, have come into existence since 1960. At a conference sponsored by the Kellogg Foundation and led by Andrew D. Hunt, former dean of the College of Human Medicine, Michigan State University, representatives of 13 of these new schools presented papers. The conference was held to identify the distinguishing characteristics of these schools and to describe their special contributions to medical education.

Hunt reviewed the principal characteristics of the schools: They were created in response to a social demand for more physicians; their faculties were motivated to adopt improved educational procedures; funds for bench research were limited; community hospitals and practicing physicians were used extensively for clinical instruction; and virtually all of them accorded departmental status to family practice.

A great many topics were reviewed: organization and administration, admissions, preclinical and clinical instruction, evaluation and faculty development, and special student problems. Of these, perhaps the best-documented and most imaginative paper, dealing with the evaluation of students' abilities to solve clinical problems,

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was prepared by faculty members of Michigan State University. The development of testing instruments for such evaluation paralleled another effort directed toward helping students learn how to solve specific problems. Although technical and complex in their execution, these two undertakings go to the very heart of what physicians spend their life doing, solving problems of their patients.

Traditional instruction relies heavily on the transmission of information, and evaluation instruments are often designed to measure such transfer of knowledge. The Michigan State University experience represents a sophisticated effort to move away from the traditional pattern and toward one that meets students' needs more effectively.

Representatives of the community-based medical schools expressed concern that accrediting agencies viewed school efforts to modify basic educational values in the interest of social relevance and humanism as a threat to "quality." This view often led to accreditational censure.

27:2.1/78

Mastering Medicine, Professional Socialization in Medical School, Robert H. Coombs, 288 pp. (Free Press, New York).

The author is a sociologist who, over a 4-year period, conducted a study of an entire class of 62 medical students at an Eastern medical school. His objective was to study the dynamic process of professionalization and to identify the factors that contribute to the process. He conducted extensive personal interviews with each student at least annually, and used a variety of psychological instruments to measure changes in personal attitudes.

The background characteristics of the students were studied at the outset, with the particular objective of determining the factors that led them to select a career in medicine. A description is then given of what the author calls the "socializing network." This network consists of the faculty (basic scientists and clinicians), other members of the hospital staff, and classmates—those in the same class as the study group, and those in the classes ahead of them.

The mechanisms bearing on the socializing process include the curriculum and the examinations used to evaluate student performance. They also include the students' encounter with the cadaver, their concern about grades, their fears of making errors in diagnosis or treatment, their embarrassment in performing intimate physical examinations, and their acceptance that physicians cannot always forestall death.

One important section of the book provides data on how students learn to relate to patients and to staff doctors. The factors in-

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fluencing the selection of a medical specialty are described, and the ef-
fect of the medical school experience on the students' own perception
of themselves is carefully documented.

Special attention is given to the question of whether students lose
their initial idealism and become more cynical. It is the author's view
that, although students become increasingly cynical, the focus of their
attitude is the medical curriculum rather than their careers in medicine
or their patients. Much of their attitude appears to reflect their treat-
ment by the basic sciences faculty.

The final section summarizes the outcomes of the study under
the heading, "Stages of Professional Affect": (1) idealizing the doc-
tor's role; (2) desensitizing death symbols; (3) objectifying and com-
bating death; (4) questioning the teaching model; and (5) dealing with
personal feelings.

The material collected and organized by Coombs provides an ob-
jective view of what occurs in medical school and how recruits to
medicine are molded on their way to professional maturity.

27:2.1/77

**Minorities in Medicine—From Receptive Passivity to Positive
Action 1966-77, Charles E. Odegaard, 164 pp. (Josiah Macy
Foundation, New York).**

In the course of accumulating information about the problems
minority students encounter in obtaining an education in medicine,
the author visited 40 of the 112 medical schools in this country. He
brings the viewpoint of a scholar who has served both as an academic
historian and a university president.

The decade he reports has seen a substantial improvement in the
numbers of minority students admitted to and graduated from
medical school. The numbers of such students admitted have now
plateaued; further success in achieving total equity will depend, he
believes, on substantially increasing the pool of students who apply.

Having been personally involved in the *DeFunis* case at the
University of Washington, the author provides clear insight into the
section that reviews the legal aspects of affirmative action in the ad-
mission of minority students.

The widespread response to the challenge of opening medical
schools to minorities has had beneficial effects that go beyond these
students. Faculty members and minority students have developed a
better understanding of their own cultural and institutional attitudes
and practices. Nonetheless, change in these attributes appears to come
at a painfully slow rate.

The many special programs developed for minority students in
medicine are comprehensively reviewed, together with an assessment

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of their effectiveness. Included are sections on recruitment, admissions, special academic support programs, and financial aids.

This monograph treats a difficult topic in a scholarly fashion, remarkable both for its overall objectivity and for its sensitivity to the personal implications of changing the patterns of human and institutional behavior.

27:2.1/76

Beyond Tomorrow: Trends and Prospects in Medical Science, 142 pp. (Rockefeller University, New York).

On the 75th anniversary of the establishment of the Rockefeller University (and its predecessor the Rockefeller Institute), the University Council invited panelists to consider some of the problems that the biomedical sciences community must face in the future. Their presentations, largely philosophical, address practical problems that affect medicine profoundly.

Gerald Edelman reviews the danger inherent in the widespread acceptance by government officials of scientific invention and technology without understanding them well enough to make wise decisions regarding their use. He believes the continued search for new knowledge must include a stronger interaction between the disciplines of science and of law, which is to say, power over nature and power over people.

Biomedical science as a basis for medicine is strongly defended by Seldin. He readily admits that the practice of medicine includes many other aspects of meeting human needs and that health is strongly influenced by nonmedical factors. However, he feels that medicine is a discipline that subserves a narrow but vital arena. It provides a powerful conceptual and technical framework for the mitigation of that type of human suffering rooted in biomedical derangements.

Lewis Thomas argues elegantly for more basic research as the only logical way to improve health and to reduce the horrendous cost of medical care. Much of that cost is due to what he calls "halfway technologies." He contrasts the effectiveness of poliomyelitis vaccine, which provides protection at low cost, with the inefficiency of the iron lung, which was formerly required to sustain the life of the polio victim with respiratory paralysis.

An injustice may have been committed in commenting on only 3 of the 20 papers. All had views on the problems of biomedical science worthy of inclusion in a monograph that commemorates the contributions to medical education and research of an institution of the highest standards.

2.2 Dentistry

27:2.2/80

Advanced Dental Education: Recommendations for the Eighties, Report of the Task Force on Advanced Dental Education, 95 pp. (American Association of Dental Schools, Washington, D.C.).

The American Association of Dental Schools appointed a task force in 1978 to study advanced dental education in the United States. Ten discussion papers were commissioned, and more than 200 organizations and individuals were invited to comment on the materials developed for the project. This study follows shortly after the Council on Dental Education and the American Association of Dental Schools made their comprehensive examination of the dental curriculum in 1976 (see 27:2.2/77).

In 1979, approximately 5,400 persons were graduated from the 59 schools of dentistry in the United States. All were eligible to secure licensure and enter general practice without further education. Nevertheless, 923 graduates entered general practice residency training programs, and 1,237 entered a dental specialty program. Thus, some 40 percent of dental graduates obtain advanced training; most seek such training immediately after graduation.

The task force took careful note of the development of specialization in medicine in the United States and formulated recommendations designed to avoid the major imbalance in medicine created by overspecialization. It recommended that general practice residency positions be developed, equal to half the annual number of U.S. dental graduates. This goal would mean an increase from the current level of 923 to 2,700 positions. Another recommendation was to decrease the total number of first-year positions in clinical dental specialty training programs. A number of general suggestions were made, as to how this difficult task might be accomplished, but the reader is left with the impression that the recommendation is designed only to signal educational institutions to slow their recent, rapid surge toward specialization.

The dental profession has now recognized eight specialty fields. Each has grown out of a recognized need and is approved by the Council on Dental Education. The task force urged that some fields be combined, that others be expanded, and that areas not primarily directed toward clinical practice be denied recognition in the future.

Preparation for teaching and research careers constitutes an essential element of advanced education. Funding for dental research and training has come chiefly from the National Institute of Dental

Research, but in recent years the amount available for research training has been halved, a circumstance viewed with grave concern.

Financing advanced training has been, and continues to be, a major problem. Hospitals, which sponsor most of the general practice residency programs, finance these programs from patient revenues, as they do their more numerous medical residency programs. Dental schools, which sponsor many of the dental specialty training programs, finance them in different ways and follow divergent practices with respect to charges for tuition and payment of salaries. The task force felt that such programs should be financed largely from patient care revenues; however, many organizational changes and improvements would have to be made to do so efficiently. An important step toward coordinated support for improved financing of advanced training is the development of a standard financial information system.

Finally, the task force recommended that an independent commission be created to study advanced education in medicine and dentistry.

27:2.2/78

Regulation and the Quality of Dental Care, Peter Milgram, 251 pp. (Aspen Systems Corporation, Germantown, Md.).

One may question the propriety of including a volume aimed at delineating the influence of regulation on the quality of dental care within an annotated bibliography for educators. However, the author, a member of a university dental faculty, addresses the matter in a fashion that clearly identifies the relevant issues as ones to which dental educators as well as practitioners should thoughtfully attend.

The author's major thesis is that little work has been done to define a factual basis for judging the quality of dental care and that, until appropriate measures have been developed, existing inadequate mechanisms of regulation will continue. He describes the current pattern of regulation as being chiefly concerned with the exercise of authority, granted by the state to boards of dental examiners, to determine the qualifications of dentists and dental auxiliaries to engage in the practice of dentistry. Schools of dentistry, he believes, may often be deterred from introducing new approaches in the use of dental auxiliary personnel because of the power wielded by state examining boards.

A new impact on the quality of dental care is being made through the introduction of payment for dental services by third-party payers, including, to a limited extent, the Federal Government. Such prepayment leads to increased utilization, which, in itself, contributes to improved health care. Unfortunately, however, it has not focused

attention on the quality of dental care provided to insured patients as one might have wished. Instead, most of the attention has been directed toward cost containment. Everyone wants to get the most from the prepayment plan; whether the most is the best is neither addressed nor answered.

The recent startling increase in malpractice actions would seem to offer hope that the dental profession will improve the quality of care. It is the author's view that this judicial approach to regulation serves the public poorly. It can provide relief (of a kind) from the most aggravated errors of commission, but often does nothing to protect the public from errors of omission.

Although not encouraged by the current ability of the dental profession to regulate itself (to the extent of meeting defined standards of care), the author is, nevertheless, optimistic that some progress is being made. There is a growing awareness on the part of the public of what it should expect from dentists. Awareness has been stimulated by a guide issued by the insurance commissioner of Pennsylvania and by other reports designed for the public, such as those published by *Consumer Reports*. Some work is being done to evaluate objectively whether certain strategies or methods lead to better dental outcomes. There is evidence of better information exchange between dentists and their patients and between organized dentistry and consumer groups.

All these factors are judged to be evidence of an emerging interest in the quality of dental care. Much work remains to be done to develop appropriate standards and measurements of how well those standards are achieved. Schools of dentistry, practitioners, and organized dentistry all have a role to play in the undertaking.

27:2.2/77
Dental Education in the United States 1976, Council on Dental Education of the American Dental Association, in cooperation with the American Association of Dental Schools, 213 pp. (American Dental Association, Washington, D.C.).

In 1974, the House of Delegates of the American Dental Association authorized a comprehensive study of dental education in the United States. The report of that study, which was financed by the A.D.A. and the Kellogg Foundation, constitutes a cross-sectional analysis of dental education in 1976, focusing on a documentation of the following major areas: institutional goals and objectives; institutional structure, organization, and scope of curriculum; students' experience in comprehensive patient care; impact of the 3- and 4-year curriculums on clinical competency; and student evaluation procedures.

A survey instrument was developed and field-tested with the assistance of the American College Testing Program. After a survey of the 59 schools of dentistry, a national dental education conference was held to review the results and to make recommendations for the improvement of dental education.

The text is well organized. Data are displayed in easily read tables and charts. Each chapter contains a short summary of the findings of the study committee and the relevant recommendations adopted by the national conference.

It is not possible to list all of the recommendations; but the conference participants, after reviewing the data, strongly supported those sound educational approaches that provide for a clear definition of course objectives and that seek to improve educational methodology and evaluation procedures that objectively measure both cognitive information and mechanical skills. The conference recommended that, faculty, especially part-time faculty, be offered the oppoitunity to learn how to improve their teaching abilities. The trend toward earlier exposure of students to clinical experiences was endorsed, as was the extension of training in the basic sciences into the clinical years. Great emphasis was placed on the comprehensive aspects of dentistry, so that the dentist would be prepared to assist patients in maintaining good oral hygiene and dental health.

The extensive data on the hours allotted to each major course and the curricular objectives should help dental faculties examine their course offerings and revise their curriculums.

Possible changes in patterns of dental education are foreseen in the recommendations that advise the Council on Dental Education to study dental specialties and general practice residencies (see 27:2.2/80). Another recommendation, which arises from the frustration produced by an overstuffed curriculum, is that dental schools seek to place more of the basic sciences in the predental curriculum—a procedure many colleges preparing dental students might find difficult to implement.

Finally, the study reflects concern that the students' educational experience may be limited by their limited exposure to certain types of patients. Expansion into programs of graduate training may help correct this deficiency.

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2.3 Nursing

27:2.3/76-1

Current Perspectives in Nursing Education, Janet A. Williamson, ed., 188 pp. (C. V. Mosby Co., St. Louis).

Accountability is a major theme of the papers in this volume. To some, the term represents responsibility, to others evaluation, and to still others answerability. All nurses are accountable to society for the practice of nursing; and the practice of nursing, as society is beginning to realize, is, to a large degree, dependent on a sound educational process.

Christy, in her paper on historical perspectives, comments on the role of religious and military organizations as they affect the nurse's perception of accountability. In both instances, she believes their effect has been negative. Also, Federal funding and educational accreditation are identified in subsequent papers as having a sharp impact on accountability.

Christman compares educational standards with professional performance and concludes that the educational process needs substantial change before professional performance will rise to the level required in today's world. He cites the disparity in the education accorded students in diploma, associate degree, and baccalaureate programs; he attributes the widespread alienation of nurses to educational programming as a substitute for educational standards. He sharply criticizes anti-intellectualism, especially as it is found in diploma programs, and the failure to adopt scientific approaches that characterizes much of nursing education.

The dilemma of the university professor of nursing—who must meet academic criteria for personal advancement and must also accept responsibility for instructing students in clinical aspects of nursing—is resolved by Williamson, who comes down firmly on the side of academic rather than clinical pursuits.

Perhaps the major reason for the inclusion of this volume in an annotated bibliography is the essay by Marlene Kramer, Professor of Nursing at the University of California at San Francisco, who tackles the tough question of what educators should prepare nurses for. If they prepare nurses for the "here and now" role, their graduates would be instantly marketable, but would tend to maintain the status quo. If they prepare nurses for an expanded role as independent, autonomous professionals, their graduates could function in a primary care setting; but few such positions are available. Kramer opts for a third alternative—preparing students for a "here and now" practice and, at the same time, laying a base for the expanded role she believes nurses can play in the future. An excellent discourse is given

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on the conflicts encountered by many nursing graduates as they endure the "reality shock" of their first employment. Kramer perceives the cause of the shock as a discrepancy between cultures—what one was schooled for versus what one is expected to do in the work world. She goes on to describe the stressful emotional reactions—fear, anger, hate, self-pity, outrage, and withdrawal—and their effect on a nurse's ability to render quality professional care. In support of her choice to train nurses to function here and now while providing for an expanded role, she cites the advantage of a nurse who does not have to use prodigious amounts of emotional energy in a new job learning new skills and adapting to new work requirements.

Kramer believes that nurses must be able to work within the system in order to be able to change it constructively. Having succeeded in working within the system for several years, a nurse graduate with a baccalaureate degree is in a superior position to pursue graduate work and, if she chooses, to take up teaching responsibilities. Kramer notes, "...if educators do not hold themselves accountable for maintaining (or acquiring) the necessary role-general, role-specific, and worker skills so they can draw on this knowledge in the teaching of students, the time will fast be upon us when others will hold us accountable."

27:2.3/76-2
The Second Step, Mary W. Searight, ed., (F. A. Davis Co., Philadelphia).

The faculty of the School of Nursing at California State College, Sonoma, have collaborated to describe the results of an experimental educational program to help associate degree and diploma nurses earn baccalaureate degrees. The staff designed the program and committed themselves to its flexibility. The program is designed to meet the diverse needs of students who range from new graduates to persons with 20 or more years of practical nursing experience.

The pressure to open the baccalaureate curriculum in nursing education to students with associate degrees from junior colleges was reinforced by California's plan for higher education. Under this plan, students were encouraged to begin their education in a junior college, and state colleges and universities were encouraged to concentrate on upper division work. Such an arrangement ran counter to policies approved earlier by the National League for Nursing, which had emphasized that baccalaureate programs should offer an integrated curriculum. (The league's policies have since been modified in response to the great pressure from many nurses who wished to obtain baccalaureate degrees and, in many instances, to perform graduate work in nursing without beginning their education all over again.)

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The Sonoma faculty adopted a strategy for learning, based on the principle that the students were adults and would have to share the responsibility for devising their own programs of learning. A key feature was a preceptorship experience in the senior year for which the student was required to prepare a contract that included the criteria for evaluation of performance.

Selecting students from a larger number than could be accepted posed considerable difficulty, as did decisions regarding the amount of credit to be given for previous educational experience. Selection and evaluation of preceptors, the development of family nurse practitioners, and "liberating the curriculum from the stereotypes of ethnicity and femininity" are described. This latter chapter tended to be "preachy," in contrast to the other sections, which were presented objectively.

A delightful chapter (written by a student) gives a kind of insight into the program that none of the faculty could provide. The student's evaluation combines her own experience with that of several other students.

Although the "second step" movement to help registered nurses achieve a college education in nursing is widespread in this country, the Sonoma program represents a coordinated effort to meet the need in an imaginative way. If it has a major defect, it lies in the avoidance of any serious effort to meet the needs of nursing students who identify hospital nursing as a worthy career.

27:2.3/74

Action in Nursing, Progress in Professional Purpose, Jerome P. Lysaught et al., 368 pp. (McGraw-Hill Book Co., New York).

Dr. Lysaught was the staff director of the National Commission for the Study of Nursing and Nursing Education, which was performed by distinguished leaders in the health field who served under the direction of W. Allen Wallis, president of the University of Rochester. The commission's activities were supported by the American Nursing Association, the National League for Nursing, and the Avalon and Kellogg Foundations. Its work, carried on from 1967-70, was assisted by nursing and health professions advisory panels. It conducted a literature search, made surveys and site visits to collect data, held invitational conferences and meetings, and, in its final report, *An Abstract for Action,* identified several basic priorities. The profession needs (1) increased research into both the practice and education of nurses; (2) enhanced educational systems and curriculums based on results of that research; and (3) increased financial support for nurses and nursing to insure adequate career op-

portunities that will attract and retain the number of individuals required to provide quality health care in the coming years.

This volume reports on the implementation phase of the work of the National Commission for the Study of Nursing and Nursing Education. In a sense, it is of more value than the original report in that it reflects the real world's response to *at report. The general reaction has been favorable; the support for or endorsement of the commission's recommendations by national nursing, medical, and hospital associations is impressive. A national joint practice commission and state counterpart commissions have been established; statewide master planning committees have been organized to insure that nursing education is positioned in the mainstream of American educational patterns; and specialty practice groups in nursing have endorsed the report's recommendations regarding career development. It is disappointing that, at a time when Federal support was expected to increase to implement the commission's recommendations, Federal appropriations have, in fact, decreased.

Not all reactions to the report are favorable. An appraisal by Christy, Poulin, and Hover criticizes the quality of the literature review, the research methodology, and some of the recommendations. They accuse the staff of a bias in favor of hospital schools and of omissions of important educational trends. Lysaught replies to these criticisms and, not surpr. ingly, finds them of no great importance.

Well-written appraisals research into nursing practice, emerging programs of nursing practice and education, and emerging patterns of nursing careers are included. Many of these articles were prepared originally for publication in journals of nursing or nursing education and, thus, have had a broader impact than would derive from the publication of this book only. Nevertheless, Lysaught feels that the majority of American nurses today still remain uninvolved in implementing the recommendations set forth by the commission.

Perhaps the greatest value of the commission's work is its success in helping nurses become more involved with the other components of the health care field. The commission has succeeded in opening up—to many groups and organizations—a realistic view of the problems faced by nursing and nursing education professionals.

27:2.3/73
Doctoral Preparation for Nurses...With Emphasis on the Psychiatric Field, Esther A. Garrison, ed., 250 pp. (University of California, San Francisco).

This publication is the result of a 3-year effort by a group of nurse educators from the University of California to define the issues

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in doctoral education for nurses, with emphasis on psychiatric nursing. It reflects the discussions held at six conferences from 1969-72, and presents the position papers prepared by 11 experts in nursing and related fields.

For persons seriously interested in the complex field of doctoral preparation of nurses, this document offers a broad perspective. It addresses areas such as the interrelationship of research and clinical practice and examines the nature of doctoral education in general. It also reviews the needs, trends, and issues affecting health care in present-day society and discusses relationships, within nursing generally, and between psychiatric nurses and other mental health specialists.

Perhaps the most difficult problem encountered by the leaders was that of securing concensus among the participants. It might have been better had they simply recognized that consensus has relatively little value or meaning to this topic.

The position papers describe a number of issues related to doctoral education: health care economics, research training, the role of the humanities, and clinical practice, among others. One of the most substantive papers (by Dorothy Gregg) proposes two approaches to doctoral education: a focus on research in which certain patient manifestations (such as aggression), are studied and a focus on a type of education that appeals to those nurse clinicians who wish to do something about the organizational and staff problems that impede clinical work.

A careful reading of this volume provides the reader with a sense of the difficulty nurses encounter in obtaining doctorates in their field. The presently unsettled state of doctoral education in nursing may help explain why so many elect to obtain degrees in related fields.

27:2.3/70
Nursing Education in a Changing Society, Mary Q. Innis, ed., 244 pp. (University of Toronto Press, Toronto).

To celebrate the 50th anniversary of the University of Toronto's School of Nursing, a group of contributors were asked to look at the many factors that have influenced the emergence of nursing as a profession. Oswald Hall, professor of sociology at the University of Toronto, looks at nursing (one of the oldest and most fundamental of social activities) in the light of the present and foremost aspect of society—its technological character. The care for the sick in society now involves an immense array of specialized workers, brought together and organized into a hospital. He believes that, to study nursing, one must study this great modern workplace. After reviewing

nursing as a predominantly woman's occupation, he asks whether nursing has accepted the implications of science as a basic feature of the profession and whether the profession has embraced the developing technology of medical care. He answers both questions negatively.

The evolution of nursing as a profession is described by Dorothy Kergin, and education for the practice of nursing, from 1920-70, is evaluated by nursing educators, a hospital administrator, a public health nurse, a physician, and a humanist. An especially valuable chapter has been written on the University of Toronto's School of Nursing by its director, Helen Carpenter. The school was established in 1920 as a department of public health nursing to prepare nurses for the new field of public health; it was directed from 1920-52 by Kathleen Russell. The school first offered a diploma in nursing in 1933, but did not become a degree-granting institution until 1942. The chapter is rich in its description of Miss Russell's highly personal efforts to inspire students and her skill in drawing strength from such diverse sources as the Rockefeller Foundation and the university's faculty of medicine to achieve her goal of academic excellence.

The final chapters—on health services and nursing education 50 years hence—provide a long look at the future of the field and the profession. Helen Mussallem, after reviewing the prospect, concludes, "If the profession of nursing is to continue as an essential profession in society, it is clear that the general educational standards must be higher than they have been in the past."

2.4 Pharmacy

27:2.4/77

Pharmacists for the Future, The Report of the Study Commission on Pharmacy, John S. Millis, chairman, 161 pp. (Health Administration Press, Ann Arbor, Mich.).

Millis, chancellor emeritus of Case Western Reserve University, by chairing this commission, has rendered a service to the field of pharmacy and to the public comparable to the service he rendered as chairman of an American Medical Association committee on graduate education for physicians.

This monograph, commissioned by the American Association of Colleges of Pharmacy, is the report of an external committee that devoted 2 years to examining pharmacy as an integral element of the health service system and the implications of pharmacy practice for the education of future pharmacists.

The commission advances the concept that pharmacy should be regarded as a knowledge system that renders a health service by concerning itself with understanding drugs and their effects on people and

animals. The commission believes that the system of pharmacy as thus conceived is effective in developing, manufacturing, and distributing drug products—but not effective in distributing knowledge and information about drugs.

Although the practices of pharmacists differ, there is a common body of knowledge, skill, attitudes, and behavior that all must have. The objectives of pharmacy education must be stated—both in terms of these common components and of the additional components required for the several roles of pharmacists. Emphasis is given to the development of the competencies required of graduates, rather than to knowledge alone. The ability to understand human behavior relative to the use of drugs is one of the competencies stressed.

Most pharmacy school faculties lack adequate numbers of clinical scientists, who are required for students to learn to provide effective, efficient, and needed patient services.

A remarkable degree of objectivity is reflected in this assessment of the discipline of pharmacy as it has evolved over the years. The recommendations for improvement in pharmacy education are clearly and concisely stated.

2.5   Allied Health Professions

27:2.5/80

The Future of Allied Health Education, National Commission on Allied Health Education, 280 pp. (Jossey-Bass, San Francisco).

The over 150 occupations that make up the allied health field—including laboratory technicians, medical technologists, physical therapists, dental assistants, dieticians, and health educators—constitute the most rapidly expanding segment of the health work force. The growth of these occupations is being matched by a growth in allied health education programs; in 1966, there were approximately 2,500 such programs in collegiate settings, and, today, there are over 8,000.

The National Commission on Allied Health Education was created in September 1977, by a grant from the W.K. Kellogg Foundation, and charged with making recommendations for the 1980's based on a thorough analysis of past developments, current problems, and emerging needs of allied health education and services. This book is the Commission's official report and contains the most authoritative and comprehensive information available on ways of improving health education programs in all settings. The Commission reports its extensive findings on every aspect of allied health education and ser-

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vices, and then offers 78 recommendations on program planning and improvement, as well as specific actions for implementing each proposal.

This book provides college administrators, program directors and planners, health educators, and others with the information and strategies needed to increase the scope, efficiency, and accessibility of allied health programs so as to meet escalating demands for basic occupational preparation and greatly expanded requirements for continuing and advanced education.

27:2.5/77

Teaching in the Health Professions, Charles W. Ford and Margaret Morgan, eds., 289 pp. (C. V. Mosby Co., St. Louis).

Educational programs for the allied health professions have relatively little in common with each other except that they are usually administered by a single program director. This volume is designed to develop a common approach to improved instruction for the teachers of these several disciplines.

The term "systems approach to instruction" is used to describe how the emphasis in instruction can be shifted from content, which has occupied a dominant role in these fields of instruction, to a more balanced approach that gives greater weight to the learning process itself. The systems approach includes establishing competencies, identifying student characteristics, facilitating learning, and improving assessment.

Although the editors draw heavily on concepts and principles that are identical to most programs for instructional improvement, they have carefully selected contributors is with substantial teaching experience in one or more of the allied health professions. The book represents a resource document of substantial value, which can be used by teachers who are seriously interested in the education of their students as professionals. Much more is provided than any instructor or entire faculty is likely to incorporate into practice; nonetheless, even if the material is used selectively, the result should be an improved educational program.

3.0   HEALTH MANPOWER ISSUES

27:3.0/80

Report of the Graduate Medical Education National Advisory Committee to the Secretary, Department of Health and Human Services, Vol. VII, DHHS Pub No. HRA 81-657, 76 pp. (U.S. Government Printing Office, Washington, D.C.).

The Graduate Medical Education National Advisory Committee (GMENAC) was appointed by the Secretary of Health, Education,

and Welfare in 1976 to advise on: the number of physicians needed in each medical specialty field to bring supply and requirements into balance; methods to improve geographic distribution of physicians; and mechanisms to finance graduate medical education. The work of the Committee extended over a 4-year period, during which it was assisted by five technical panels of experts, by the staff of the Office of Graduate Medical Education in the Health Resources Administration, and by 180 physician specialists who served on a Delphi panel of experts. Contracts were let to several consultant organizations, and a national conference was held in conjunction with the Operations Society of America.

GMENAC undoubtedly has made contributions that have improved the methodologies available for health manpower planning. Nevertheless, this report repeatedly calls attention to the need to validate both the methods and the conclusions, and the Committee emphasizes the importance of further research in this field.

GMENAC concludes that, by 1990, there will be 70,000 more physicians than required. It recommends a 17 percent decrease in S. medical school enrollment below current levels; sharp restriction of the entry into the United States of foreign medical school graduates (who alone would contribute 40,000 of the projected surplus of 70,000 physicians); and no further rise in the number of nc: physician health care providers now being trained. However, GMENAC also recommends that programs to increase the representation of minority groups in medicine be advanced by broadening the applicant pool with respect to socioeconomic status, age, sex, and race.

GMENAC also concludes that, again by 1990, most medical specialty fields will have a surplus of specialists. Exceptions include the primary care fields, which will be about in balance, and psychiatry, physical medicine and rehabilitation, and emergency medicine, in which shortages are anticipated. It recommends prompt adjustments in the number of residency training positions in the several specialty fields to bring supply into balance with requirements in the 1990's. However, it cautions against abrupt changes, and suggests that no program of graduate medical education be required to lower its enrollment by more than 20 percent.

Other GMENAC recommendations relate to the need to develop criteria for assessing the adequacy of health services in small geographic areas, initiatives to improve the geographic distribution of physicians, programs to emphasize ambulatory care and training, and new professional service reimbursement plans to help achieve health policy objectives.

27:3.0/79

Physicians and New Health Practitioners: Issues for the 1980's, Institute of Medicine of the National Academy of Sciences, 60 pp. (U.S. Department of Health, Education and Welfare, Washington, D.C.).

Although prepared by the staff of the Institute of Medicine, this document also reflects some of the views and concerns of a panel of experts who reviewed the topics before the book was written. A valuable bibliography (more than 200 citations) is included to document the staff findings. It is striking to note, however, how tentative the conclusions are with respect to the future supply and distribution of physicians. This circumstance, as the authors readily admit, poses major difficulties for those persons in government who must make policy recommendations, as well as for the members of Congress who must adopt health manpower legislation.

The magnitude of the anticipated increase in M.D.'s and osteopathic physicians by 1990 has created a widely held opinion that there may be an excess of 50,000 physicians by 1990. The factors that relate the number of physicians to the health service needs of the public are carefully reviewed. Tending to offset the effect of the larger numbers of physicians per capita are such items as reduction in the physician's work week from its present level (more than 50 hours per week); the increasing number of women physicians who are not expected to work a 50-hour week; and the existence of current shortages in major areas such as psychiatry, the inner cities, and nursing homes. Increased physician productivity and the greater use of physician assistants and nurse practitioners may have an opposite effect on the need for more physicians.

Although many researchers and policymakers believe that an adequate overall supply of physicians exists, there is great concern about the lack of access to them by some residents in the United States. Maldistribution accounts for a great deal of this lack of access. Maldistribution applies both to the geographic distribution of physicians and to the imbalance between primary care physicians (who are in short supply) and specialists (there are too many). Again, the authors find little hard evidence to document what would represent a better balance in the distribution of physicians.

The factors influencing specialty and location choices are extensively reviewed, including personal preferences, education, and economics. The most successful effort to date to improve the distribution of physicians is the program that assigns members of the National Health Service Corps to underserved areas. The needs of many rural areas have been served by these young physicians; the needs of the inner city have not. Progress is being made in training more primary care

physicians, but the existing policies with respect to health insurance payments for primary care services deter the greater use of outpatient and home services. There is widespread agreement that the number of minority physicians should be increased, both as a matter of equity and as a means of making health services more readily available to minority populations. A substantial increase in enrollment of minority students from 783 in 1968-69 to 3,456 in 1975-76 was achieved in response to affirmative action plans adopted by virtually all medical schools. The goal of 12 percent minority enrollment was not reached, however, largely because of a limited pool of qualified applicants. A variety of measures taken to increase that pool are reviewed. The most successful approach appears to be the one directed at enrichment of opportunity for precollege students, coupled with financial assistance plans.

The final chapter assesses the current impact of physician assistants and nurse practitioners on the provision of primary care services. This is a fairly recent development, stimulated by the shortage of physicians early in the last decade. The growth of these two professional groups will depend on their ability to find employment with physicians and on the payment mechanisms for the reimbursement for their services. Neither of these factors can be assured for the future.

27:3.0/76-1

Health Manpower Information for Policy Guidance, Dale L. Heistand and Miriam Ostow, eds., 149 pp. (Ballinger Publishing Co., Cambridge, Mass.).

Substantial effort is expended each year to collect and analyze data regarding the numbers and distribution of all categories of health manpower. Although the need for more and better information is frequently voiced, the skeptic may ask some critical questions: Why should more information be sought at this time? Does information affect policy decisions? If so, how? What types of information have the greatest effect on policy? Who should collect new information? Who should analyze it?

The principal author organized a conference on health manpower data and invited leaders in the various health fields. Presentations were made for each of the major fields, together with an analysis of the significant issues raised by the trends in production of, and demands for, graduates in the health professions.

The analysis of nursing manpower by Joessie M. Scott and Eugene Levine is, perhaps, the best of the presentations. This field is the most complex, has the largest number of professionals, and is

changing most rapidly. Their paper, together with the one on trends in nursing education and the one on trends in the distribution of nursing manpower, gives a comprehensive overview of the issues that strongly influence the use and availability of nurses in this country.

Eli Ginzberg, noted economist, assesses the significance of health manpower data in the context of the nature of society, its institutions, its resources, and its sense of propriety. He points out that society places a high priority on the right of privacy, and that even the U.S. Department of Labor must operate with limited information about manpower availability and utilization.

Current supply-demand trends suggest the following:

Physicians—There are suggestions of an emerging surplus. Many specialty fields are concerned about overexpansion, especially the surgical specialties, clinical pathology, and diagnostic radiology.

Nurses—There no longer appears to be an aggregate shortage. A continuing demand exists for nurses with advanced degrees for educational and administrative positions.

Physician Assistants—There is market acceptance of almost all graduates, but employment is concentrated within specific geographic areas. It is believed that this field may not grow if the number of physicians continues to increase.

27:3.0/76-2
Primary Care in a Specialized World, Philip Lee, Lauren LeRoy, Janice Stalcup, and John Beck, 224 pp. (Ballinger Publishing Co., Cambridge, Mass.).

This highly researched and well-documented monograph reviews the important topic of primary medical care, chiefly from the viewpoint of health manpower. The senior author, formerly Assistant Secretary for Health and Scientific Affairs of the Department of Health, Education and Welfare, relates national health policy choices to the provision of primary care by addressing four major issues: (1) changes in patterns of financial support for education, particularly in medicine and nursing; (2) immigration policy changes affecting foreign medical graduates; (3) regulation of medical residency programs; and (4) Federal involvement in resolving the geographic maldistribution of physicians.

Health manpower data are analyzed, the number of primary care physicians required to provide adequate services estimated, and the role of nurse practitioners and physician assistants in supplementing physician services discussed.

The growth of specialization and the decline of general practice is related to policies of governing graduate medical education (particu-

larly of medical school-affiliated teaching hospitals). The authors believe that the recent emergence of the family practice residency and changes in emphasis by residency programs in internal medicine and pediatrics will alter the decline in the number of primary care physicians, but the changes will occur too slowly to fully meet actual needs.

The final chapter—on access to primary care services—discusses the diverse problems of rural and inner-city areas and reviews Federal policy options in overcoming maldistribution of medical services in these locations.

27:3.0/75
Physician Productivity and the Demand for Health Manpower, Uwe E. Reinhardt, 311 pp. (Ballinger Publishing Co., Cambridge, Mass.).

The author, a health economist, uses the techniques of economic analysis to examine the implications of Federal health manpower policies. He concludes, in contrast to some other manpower experts, that the current rate of graduating physicians may result in too many, rather than too few, physicians. He arrives at this view by studying the past growth in physician productivity and by analyzing the effect of additional health manpower substitution (e.g., physician's assistants) on future productivity.

The trade-off of improved efficiency versus quality of health care services rendered is examined carefully. Reinhardt recognizes that economic incentives that stimulate the physician to see more patients in a given period may, indeed, lower the quality of service, but rejects the notion that it must inevitably do so. "Given the current clamor over the ever-rising cost of health maintenance in this country, a more realistic conception of quality would be one based on objectively determined soundness of a physician's services rather than on the time he personally devotes to their production."

Although the book is intended principally for readers not skilled in the use of econometric techniques, the author includes a sophisticated section on his use of these tools.

4.0 MANAGEMENT AND ECONOMICS
27:4.0/78-1
Improving Management Performance in Health Care Institutions: A Total Systems Approach, Addison C. Bennett, 243 pp. (American Hospital Association, Chicago).

The operation of a university hospital is a financial undertaking that may equal in magnitude the scale of the rest of the university.

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More than that, the possibility exists that the center may operate at a loss, which could jeopardize the entire institution. Although the need for effective management is almost always appreciated, the complexity of what constitutes effective, *continuing* management may not be.

The author views the operation of a modern hospital as a series of interdependent operations, external as well as internal, which together constitute a system. The proper management of that system can no longer be accomplished in the framework of a hierarchical organizational structure. He begins and ends the book with four words of wisdom: Experiment! Explore! Change! Grow! It is the constant need for change and adaptation that mandates a managerial strategy of flexibility for long-term survival.

The hospital is described as a professional organization, primarily engaged in "knowledge work," in which the systematic acquisition of knowledge has replaced experience (traditionally acquired through apprenticeship) as the foundation for productive capacity and performance. The organization of the medical staff as a coherent professional group, with great influence within the hospital, poses special problems for management. And the hospital, in contrast to a business organization concerned with creating new customers, markets, and products, must decide how best to deploy the resources available to meet random demands that can vary over extremely wide limits. After a patient has been accepted by the hospital, the staff is committed to meeting the needs of that patient and whatever complications occur in the course of that patient's illness.

Given the special characteristics of the hospital, its success will largely be determined by its people. Their performance will depend on their perception of the fulfillment of such human needs and aspirations as recognition as an individual, rewards related to performance, meaningful work, access to information that affects them and their life at work, significant participation in decisionmaking, opportunity for growth and development, and freedom of choice.

A proper perspective of the hospital by the chief executive must include an understanding that not everything that goes on within the institution is controllable. When viewed from a systems perspective, many functions turn out to be necessary to the system itself. The executive must, however, exert control—while maintaining the ability to respond to changes in the external environment and to unexpected changes within the institution itself.

Organizational change is regarded as a constant, ongoing process that must be accomplished gradually and systematically in order not to endanger the institution. And management is a resource that must be developed, at all levels, to the fullest extent possible.

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Having presented the unique characteristics of the hospital, the author goes on to describe (from the viewpoint of an experienced manager) how such a complex institution can be managed effectively, as a system. Emphasis is placed on communication, coordination, and control, again within the concept of the hospital as a totality.

The writing is clear; the perspective is good; and the advice offered to managers is sound.

27:4.0/78-2

The Economics of the Private Demand for Outpatient Care, A. G. Holtman and E. Odgers Olsen, Jr., John E. Fogarty International Center for Advanced Study in the Health Sciences, 138 pp. (U.S. Department of Health, Education and Welfare, Washington, D.C.).

This is a study by two economists of the importance of price as a rationing device in the medical market, and of the impact of health insurance on this method of apportioning medical services. Using a theoretical economic model, they attempt to explain the effect on the consumer's demand for medical care of such other factors as change of income, money price, insurance rates, wages, and especially the influence of poor health.

The theoretical economic model was applied to data from a five-county health survey centered on Binghamton, N.Y. Although the survey was extensive, it has certain limitations which the authors describe. Despite its limitations, the data are more detailed and more applicable to economic analysis than are those of most previous surveys.

Waiting time was found to be an important determinant of the demand for dental care and children's examinations, as was price. However, the authors suggest that programs that reduce waiting time for the poor may be more productive than those that reduce price. The model highlighted the observation that studies that aggregate medical services may be misleading; factors that affect demand for dental services may not be the same as those for checkups for children. Surprisingly, the authors did not find travel time to physician's or dentist's office to be a meaningful determinant of the demand for care.

The authors concluded that the demand for care is very inelastic with respect to most economic variables—a conclusion that bolsters the view that most persons regard health care as a necessity—irrespective of income or the price of care. However, payment of health care services by health insurers has a substantial impact on the demand for a physician's care, thus suggesting that a national health insurance program, even with coinsurance, will substantially increase demand.

It appears that any national insurance program will contribute both to demand and to inflation in this market unless appropriate actions are taken to increase supply and efficiency.

5.0 ADMINISTRATION OF THE ACADEMIC HEALTH CENTER

27:5.0/78

American Medicine: Challenges for the 1980's, David E. Rogers, 150 pp. (Ballinger Publishing Co., Cambridge, Mass.).

This book was written by a physician who has chaired a major department of internal medicine and served as dean of a prestigious school of medicine. For the past 7 years, he has headed a major foundation that has supported numerous projects to improve the quality of health services for Americans. Although he addresses some of the historic aspects of American medicine and looks at the dilemma of the physician as a person, the author's major thrust is an analysis of the academic medical center. He characterizes it as a "stressed American institution."

The academic medical center was established as a medical model in the early years of the century, largely as a result of the contributions by philanthropic institutions. Both Federal and state funds for the support of research and teaching and the provision of tertiary care services following World War II have increased exponentially. These factors have combined to stimulate the development of a large number of such centers throughout the country with startling benefits—increased basic and applied medical research; the availability of large numbers of highly qualified specialists; and improved resources for the treatment of difficult and complex medical problems. These academic centers have come to occupy a significant place in American medicine, but their very success has planted the seeds of a tangle of problems. Rogers lists the groups who voice dissatisfaction with the centers: legislators, governors, Federal agencies, their own universities, local residents, private physicians, house staff, and even medical students. What are the complaints? They train too many specialists and not enough generalists. They contribute to maldistribution of physicians. They are too expensive. They do not render comprehensive care for local residents. They expect too much work from their trainees. What they teach is often not relevant to students' perceived goals.

The author regards the academic medical center as a very special and important academic institution with the ability to make continuing unique contributions. Its survival requires it to adapt to changing circumstances. It needs top quality internal management by in-

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dividuals trained to manage large institutions. This "Mr. Inside" must be complemented by a "Mr. Outside" who can constructively relate the center to its diverse constituencies. The rate of growth must be checked, and the center must cooperate with other health care institutions. The kinds of personnel trained should bear a relationship to the needs of the public, rather than to the needs only of the academic center. (Although the center may feel it needs a large number of surgical residents to provide the special care required to perform open heart surgery and renal transplants, the presence of an excessive number of surgeons may be superfluous to the public's need for these skills.)

A particularly knotty problem is the trend in recent years to "medicalize" social problems, such as overuse of alcohol, addiction to drugs, child abuse, and a host of other problems that do not have their primary origin in a biomedical derangement. Rogers believes the government and society must develop other institutions to deal with such problems.

The issue of how medical care can be distributed more equitably is one which the academic medical center cannot resolve alone. The Federal Government jeopardizes the center when it attempts to use financial leverage to compel the center to assume too great a share of the responsibility for the solution of this difficult problem.

The cost issues must be faced squarely by all parties—government, academic medical centers, hospitals, and the practice sector. Cost issues can be resolved, Rogers believes, if government and the centers understand each other better and if they return to the old mutually supportive relationship from their current adversarial one. The special mission of the academic medical center must be maintained for the benefit of society. That mission is likely to be broader than some personnel within the center wish it to be and narrower than society's representatives now demand it be.

Institutional Advancement
(Public Affairs)

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James L. Fisher

Institutional advancement includes activities—by a school, college, or university—to develop, maintain, and enhance understanding and support of its educational goals from all of its publics. On most campuses, institutional advancement includes: public relations or public affairs, development or fund-raising, alumni relations, government relations (Federal, state, and local), and publications and periodicals. With the notable exception of college and university presidents, professionals who work in the field are usually not involved directly with the academic programs of their institutions. They do not assume responsibility for either academic quality or evaluation. Their role is to foster conditions that will provide the academic enter-prise with sufficient resources.

For both public and private institutions, effective advance-ment activities represent the difference between average and distinguished performance. Indeed, during the decade of the 1980s, advancement activities may even represent, for many in-stitutions, the difference between extinction and survival.

The field is not as well defined as most activities in higher education. Although public understanding and support have always been acknowledged as fundamental to the existence of American colleges and universities, professional attention to the advancement of our institutions is a relatively recent phenomenon.

The literature presented here has been selected to range from the theoretical to the practical, the "how should" as well as the "how to." Entries are categorized by functional areas, starting with philosophy, organization, and administration of the institutional advancement program and the role of the chief executive officer. No presentation of institutional advancement activities can avoid overlap with other college and university functions.

Institutional Advancement Program. The prime determinant of an institution's future is its president, who must be its leader, conscience, and symbolic personification. In addition to inspiring and coordinating the constituent functions of the advancement program, the president must participate in the program and be accountable for it. Ultimate responsibility for a college or university's advancement rests with the president, who cannot abdicate the responsibility of being the architect and builder of the institution's future.

Public Relations. Public relations has assumed major importance in recent years, as professional fundraising has been combined with modern techniques of communication. Its vital role in other phases of advancement, including student recruitment, has also contributed to its importance. Now virtually all colleges and universities have an office or officer for public relations/public information or information services. This office is intended to help identify the institution's mission with the public interest, and to plan and execute a program that will earn greater public understanding, acceptance, and confidence for the institution.

Fundraising (Development). Educational fundraising involves soliciting and securing gifts and grants for schools, colleges, and universities from interested individuals and organizations. It is generally agreed that the establishment, in 1923, of the first special office for development at Northwestern University marked the birth of organized fundraising for American colleges and universities.

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Alumni Relations. These activities generally are designed to maintain the interest and support of persons who have attended the college or university. Alumni activities often include special clubs, tours, trips, periodicals, athletic events, continuing education programs, and other support efforts, including fundraising.

Government Relations. Government relations, as a clearly defined and separately budgeted institutional activity, recently has become important. There are few schools today that do not receive significant public support—local, state, and Federal. Colleges and universities have been invited to compete for public dollars in a manner essentially consistent with the American system—support goes to those with ability and merit, with special consideration for those with legitimate need. Increasingly, this support has brought government regulation of both private and public higher education. The very complexity of government support programs and government regulation in higher education demands regular professional attention. As a result, many colleges and universities are opening offices of government relations; some have designated the responsible officer as vice president.

Communications. Effective communications are the keystone for successful programs in alumni relations, public relations, fundraising, and even government relations. Today, institutions publish a plethora of general and special periodicals, including student recruitment publications, information booklets and brochures, and fundraising and promotional material. Recently, many institutions have invested their resources in film, videotape, slides, and radio techniques for informational and promotional communication.

TOPIC ORGANIZATION

28: Institutional Advancement (Public Affairs)

   1.0 Institutional Advancement Program: Integrated Approach

      1.1 Philosophy, Organization, and Administration
      1.2 Role of the President

1.0 INSTITUTIONAL ADVANCEMENT PROGRAM: INTEGRATED APPROACH

1.1 Philosophy, Organization, and Administration

28:1.1/78
Evaluating Advancement Programs, New Directions for Institutional Advancement, No. 1, Harvey K. Jacobson, ed., 117 pp. (Jossey-Bass, San Francisco).

    This book analyzes evaluation of institutional advancement, making clear what evaluation can accomplish, what the problems are, and how pitfalls can be detected and avoided. The areas covered are: the evaluation process; indicators of effort, performance, and effects; selected indicators for fundraisers; promising approaches to evalua-

tion; auditing communication strengths and weaknesses; a statewide review program; strengthening the admissions program; using surveys to revitalize alumni programming; using management by objectives for evaluation; and constructing and implementing an ongoing evaluation program.

28:1.1/77

Handbook of Institutional Advancement, A. Westley Rowland, general ed., 577 pp. (Jossey-Bass, San Francisco).

This volume provides a thorough and systematic treatment of the entire field of institutional advancement. It is written for professionals in the field, both newcomers and those with experience, as well as for college and university presidents. The handbook, which represents the work of more than 30 contributors, is divided into six major sections. Each part, edited by an individual selected for his extensive experience, represents the current thinking, practices, and trends in institutional advancement.

Part I, Institutional Relations, covers the areas of professionalism in the field: internal and external relations, news service, broadcasting, special events, and photography.

Part II, Fund Raising, evaluates the state of the art regarding: use of volunteers, development, use of professional counsel, records, annual giving, grants, bequests, capital campaigns; it concludes with a discussion of the future of educational fundraising.

Part III, Alumni Administration, discusses the alumni movement as a whole, emphasizing volunteers, staff, alumni and student programs, clubs and reunions, and publications.

Part IV, Government Relations, includes chapters on principles for effective relations, state and local jurisdiction, and Federal relations.

Part V, Publications, covers topics from organizing the program through market research, production, and cost control techniques, to publications for specific audiences.

Part VI, Executive Management, contains chapters on plann .1g, goals and objectives, priorities, organization and structure, personnel, resources, evaluation, and research.

(Relevant sections of the handbook are annotated in greater detail in appropriate subtopic sections.)

Taken as a whole, this volume is the single most comprehensive source of information on institutional advancement and advancement activities available at this time.

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28:1.1/75

Marketing for Nonprofit Organizations, Phillip Kotler, 436 pp.
(Prentice-Hall, Englewood Cliffs, N.J.).

This book applies basic marketing principles to not-for-profit
organizations. All organizations exist in an environment of one or
more markets and publics. According to the author, the multiple
markets and publics of higher education include: the student market,
the faculty market, the donor market, and the public opinion market.
Kotler defines marketing as the effective management by an organiza-
tion of its exchange markets and publics. The book contains many ex-
amples of problems and solutions drawn from real life cases that show
how to perform varied marketing techniques, such as marketing
research and segmentation analysis.

The book is divided into five parts: Part I explains the nature
and relevance of marketing to nonprofit organizations; Part II
describes the major concepts and tools available to the organization to
help it understand its markets; Part III discusses the organization's
strategic and tactical means for relating to its markets; Part IV covers
administration of the marketing program; and Part V discusses ap-
plications. A separate section of case studies of nonprofit organiza-
tions is also included.

28:1.1/71

**Seeking the Competitive Dollar: College Management in the
Seventies** (microfiche), John W. Leslie, 56 pp. (American Col-
lege Public Relations Association, Washington, D.C.; predeces-
sor to Council for Advancement and Support of Education,
Washington, D.C.).

This publication provides comparative data on analysis of ad-
vancement programs at a wide range of institutions, covering topics
such as size of staff, expenditures, and gift dollars. Comparative data
are also provided in these areas from two previous studies by the
author. Thus, figures for 1962-66, 1965-68, and 1967-70 can be com-
pared as trends. The publication also addresses the overall manage-
ment concept for institutional advancement, including practical
guidelines for self study and planning for individual institutions. Ex-
cluded from the comparative data are 2-year colleges, state colleges,
and those institutions that received less than a 3-year average of
$100,000 in gifts, excluding bequests. Included are chapters on:
"Realities of the Seventies"; "The Competitive Dollar"; "Public Af-
fairs: An Emerging College Management Field"; "Cost of Institu-
tional Advancement Programs"; "Costs-Per-Gift Dollar Rise";
"Salary Information, Staff Sizes, Organizational Patterns and

Trends"; "Programming Effective Communication and Financial Support"; "Staying in Control"; and "The Philosophy Underlying an Institutional Advancement Program."

28:1.1/69
Focus on Understanding and Support: A Study in College Management (microfiche), John W. Leslie, 129 pp. (American College Public Relations Association, Washington, D.C.; predecessor to Council for Advancement and Support of Education, Washington, D.C.).

This book is an outgrowth of a study of current advancement practices during the period of 1962-68 and was published by the American College Public Relations Association in 1969. Despite the age of some of the data, it still provides a departure point for the study of management activities for institutional advancement. Chapter I explains the basis for the study. Chapter II shows the findings, including organizational structure, size and salaries of professional staffs, and yardsticks for measuring fundraising effectiveness. Chapter III discusses the organization and structure of the advancement program and is probably one of the two sections of most importance today. The second chapter of continuing importance is Chapter IV, which covers planning and evaluating the advancement program.

1.2 Role of the President

28:1.2/80-1
Handbook of College and University Trusteeship, Richard T. Ingram and Associates, 514 pp. (Jossey-Bass, San Francisco).

Published under the auspices of the Association of Governing Boards of Universities and Colleges, this handbook provides essential information on a full range of trustee responsibilities. Chapter XIV, written by Michael Radock and Harvey K. Jacobson, gives excellent coverage of the trustees' roles in securing resources for their institution. This material would be of use to the president in educating trustees to their responsibilities in institutional advancement. The topics covered are: guidelines for obtaining resources, the need for trustee participation, fundraising, relating to the institution's public, governmental relations, and evaluating the fundraising program.

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28:1.2/80-2

Presidential Leadership in Advancement Activities, New Directions for Institutional Advancement, No. 8, James L. Fisher, guest ed., 98 pp. (Jossey-Bass, San Francisco).

This book, published in conjunction with the Council for Advancement and Support of Education, is a succinct yet thorough treatment of the president's role in institutional advancement. The author notes that presidents frequently lack adequate knowledge in the areas of institutional advancement, and "because presidents do not know much about effective fundraising, alumni relations, government liaison, public relations, they tend to be anxious, suspicious, or disdainful of these activities." The objective of this book is to dispel the disdain and anxiety by describing the president's role in advancement.

The opening chapter by Theodore Hesburgh is an eloquent statement of the president's leadership role in advancement and the qualities that make an effective leader. Chapter Two examines the president as the chief strategist, chief definer, and chief planner for the institution; Chapter Three describes the presidential responsibility in dealing with the vast and shifting variety of publics; Chapter Four looks at the president's many roles in public relations; Chapter Five considers the advancement roles of presidents of small public colleges. Subsequent chapters treat the president's role in alumni relations, fundraising, and government relations. The book closes with a chapter on institutional advancement as a team effort to which the president gives direction.

28:1.2/75

The President's Role in Development, Association of American Colleges, 57 pp. (AAC, Washington, D.C.).

This volume is a collection of presentations from three mid-1970s seminars sponsored by the Association of American Colleges on the President's Role in the Development of Private Support. The contributors recognize that many presidents come to the job with minimal experience in institutional advancement; and, of all the functions over which the president must preside, the one least able to be delegated is his/her responsibility for institutional advancement.

Some of the issues treated are: the president's management role in development; the elements of a development program; developing the case and the long-range master plan; the president's leadership role in motivating trustees, volunteers, and donors; the trustees' view of the president in his/her development role; the organization and evaluation of a development program; and developing private support. The volume also includes a pertinent bibliography for "the president's reading list."

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2.0 PUBLIC RELATIONS
2.1 Managing the Public Relations Program

The following book is cited and fully annotated under Topic 28:1.0 Institutional Advancement Program: Integrated Approach (28:1.1/77), but Chapter 1 is briefly annotated here because of its relevance to this section.

Handbook of Institutional Advancement, Chapter 1, "Professionalism, Performance and Productivity," Arthur V. Ciervo, pp. 13-29, (Jossey-Bass, San Francisco).

This chapter analyzes the characteristics of a professional in college and university public relations, and outlines short-term and long-term public relations goals for typical institutions. The author urges professionals in the field to use research, play an ombudsman role on campus, emphasize "PR" counseling, and do complete staff work. Other advice: keep confidences, work to advance one's education, understand the president's problems, learn about public opinion, improve productivity, and evaluate performance.

See also: **19:1.0/80-1 Achieving Optimal Enrollments and Tuition Revenues,** William Ihlanfeldt.

For public affairs managers involved in shaping their institutions' student recruitment strategies, this book provides invaluable background. The author approaches the recruitment process from a marketing point of view. He discusses how to design and conduct market research, plan the marketing effort, and implement and evaluate market strategies. Of special interest to those in institutional advancement is the chapter "Improving Communications and Promotion."

28:2.1/79-1
Surveying Institutional Constituencies, New Directions for Institutional Advancement, No. 6, J. Bruce Francis, ed., 100 pp. (Jossey-Bass, San Francisco).

This book stresses the value of basing public relations programs on research into the attitudes of specific constituencies. The importance of clear objectives, the advantages and disadvantages of different survey techniques, problems with institutional surveys, and how to design and administer the questionnaire(s) are outlined. Other topics covered include how to build response to mail surveys, how to analyze data, and the future of institutional surveys: new concepts, techniques, and technologies.

28:2.1/79-2

A Marketing Approach to Student Recruitment, Virginia L. Carter and Catherine S. Garigan, eds., 79 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This monograph draws together 46 articles on those phases of student recruitment of special interest to the public affairs professional. The opening section provides perspective on demographic trends of the 1980s and on how marketing principles may be applied to student recruitment. Other chapters cover: market research; student consumerism; advertising; publications; film, slides, and other media; and using students and alumni in the recruitment process.

28:2.1/78-1

Effective Public Relations, 5th edition, Scott M. Cutlip and Allen H. Center, 612 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

This book, considered the basic work in public relations, covers the field comprehensively. Of special interest is the in-depth treatment of the four-step process of public relations: fact-finding and feedback, planning and programming, action and communication, and evaluation. Of special interest to the administrator in higher education is Chapter 24 (pp. 550-573), which deals with the practice of public relations in higher education.

28:2.1/78-2

Developing a Comprehensive PR Plan (microfiche), Nancy Raley, ed., 98 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This microfiche contains both general guidance on how to develop a comprehensive public relations plan and excerpts from the planning documents in use at various universities. Particularly helpful are two articles that originally appeared in CASE Currents: "MBO Brings Results" by Donald Elam of the University of Georgia, and "Practicing PR by Objectives" by Anita H. Thies of Pennsylvania State University. Bridging the gap from these general discussions to the day-to-day work situation are sections from the plans of Cleveland State University, the College of Osteopathic Medicine and Surgery, and the University of Oklahoma.

28:2.1/77-1

Attitude and Opinion Research: Why You Need It/How To Do It, Walter K. Lindenmann, 88 pp. (Council for Advancement and Support of Education, Washington, D.C.).

The editor's position is that attitude research is "the essential first step toward improved communications with any audience, from alumni and parents to business people and students." He describes opinion and attitude research, including the two basic forms surveys usually take, suggests how to select an opinion research firm, and discusses existing research on youth attitudes. Another author details how a college or university administrator can conduct a mail survey. Completing the volume are sample survey questionnaires directed to alumni, prospective students, business leaders, voters, and readers of alumni publications.

28:2.1/77-2

Community, Junior, and Technical Colleges: A Public Rela-tions Sourcebook, William A. Harper, 212 pp. (Hemisphere Publishing Corp., Washington, D.C.).

For the 2-year college administrator, this volume provides a comprehensive view of how to organize and conduct a public relations program. After describing the changing environment for 2-year col-leges, the author systematically outlines the nature of public relations and tells how to put together a successful program. Other chapters deal with organization and staffing, internal relations, external and media relations, and special problems. There are also chapters on the importance of national public relations efforts and on public relations challenges to the president.

See also: **19:1.0/77-3 The Many Faces of Educational Consumerism,** Joan Shark and Associates.

Of all the articles and books on consumer protection in higher education, this gives the most comprehensive view. The author, who has headed the FIPSE-funded Project CHOICE, and her associates outline the positions of students and of the colleges. Then, they detail how institutions of higher education can live up to their respon-sibilities for dealing fairly with their current and prospective students.

2.2 Internal Communication

The following volume is cited and fully annotated under Topic 28:1.0 Institutional Advancement Program: Integrated Approach (28:1.1/77), but Chapter 2 is briefly annotated here because of its relevance to this section.

Handbook of Institutional Advancement, Chapter 2, "Internal Relations," Howard Ray Rowland, pp. 30-45, (Jossey-Bass, San Francisco).

The author succinctly covers the basics of internal communication: audience, media, staff, budget, goals, and obstacles to reaching those goals. In addition, he cites a number of examples of successful communication programs with faculty, staff, and students.

28:2.2/78

Improving Institutional Communications, New Directions for Institutional Advancement, No. 2, Gerald M. Goldhaber, ed., 99 pp. (Jossey-Bass, San Francisco).

Although portions of this volume deal with external communications, Gerald Goldhaber emphasizes internal communications. Especially helpful are chapters on evaluating internal communication, conducting one's own communication audit, and reporting audit results. The book gives administrators a theoretical background to complement the more practical approach of the *CASE Currents* special issue, "Improving Internal Communications" (28:2.2/77).

28:2.2/77

Internal Communications, a special issue of *CASE Currents,* Vol. III, No. 10, November, 56 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This issue contains material on how to communicate successfully with faculty, administrators, staff, and students. The lead article debunks the notion that "internal communication" and "internal publications" are synonymous, and suggests instead that a variety of print and nonprint media are needed for a comprehensive internal communication program. Other authors discuss the use of research, the problems posed by crisis situations such as strikes, and the ways in which good internal communication has improved campus morale and reduced staff turnover. The issue concludes with a summary of the best internal newsletters and newspapers from colleges and universities throughout the country.

2.3 External/Media Relations and Special Events

The following volume is cited and fully annotated under Topic 28: Institutional Advancement Program: Integrated Approach (28:1.1/77), but Chapters 3, 4, 5, and 6 are annotated briefly here because of their relevance to this topic.

Handbook of Institutional Advancement, Chapter 3, "External Relations," Ernest E. Rydell, pp. 47-59, (Jossey-Bass, San Francisco).

This chapter outlines the audiences to whom external relations efforts may be addressed and covers programs useful in reaching them. The author's underlying philosophy is that "open communications and honest relationships with all constituencies will result in greater public confidence."

Chapter 4, "News Service," Wesley J. Christenson, pp. 60-77; and Chapter 5, "Broadcasting for Broad Audiences," J. Arthur Stober, pp. 78-95.

Taken together, these chapters give a broad view of why and how colleges and universities may use the news media to reach the public with news, feature, and editorial material and with public service messages. Christenson uses a case study approach to illustrate points about the organization and management of news services. Stober deals comprehensively with radio and television, and tells how campus communicators can best use these electronic media.

Chapter 6, "Special Events," Kathleen Rydar, pp. 96-108.

This chapter focuses on what makes an event "special": a dramatic idea, thoughtful planning, careful attention to the timetable, thorough follow-through, and intelligent evaluation. The author cites examples of such traditional events as commencement, reunions, and homecoming; such seasonal events as holiday observations; and such one-time events as a centennial or a visit to campus by the President of the United States.

28:2.3/80
Special Events, a special issue of *CASE Currents,* Vol. VI, No. 6, June, 48 pp. (Council for Advancement and Support of Education, Washington, D.C.).

Using a case study approach, this issue covers a broad spectrum of events that have furthered the specific goals of colleges and universities. Throughout the issue, authors emphasize that the best special

events grow out of the institution's unique history and purpose, and that they should be developed to support stated institutional objectives. Of special interest is a seven-page section of special events checklists and a round-up of 12 events "too good to forget."

28:2.3/79-1
Using the Mass Media, New Directions for Institutional Advancement, No. 5, Arthur V. Ciervo, ed., 97 pp. (Jossey-Bass, San Francisco).

This book's seven chapters describe approaches that colleges and universities may use to reach the public through the mass media. After an introductory chapter, "Why Aren't They Listening?," authors deal with newspapers, magazines, and radio-television. Of special interest are the discussions on how to get media coverage without news releases, and how public relations managers may evaluate their media relations programs.

28:2.3/79-2
Building Bridges to the Public, New Directions for Higher Education, No. 27, Louis T. Benezet and Frances W. Magnusson, eds., 104 pp. (Jossey-Bass, San Francisco).

Written for higher education administrators rather than for institutional advancement professionals, this book gives a good overview of why higher education needs more public understanding, and how to build that understanding. The opening chapter points out that America's colleges and universities must "increase their candid self-assessment, self-renewal, and self-regulation if they are to regain public support and fend off government encroachment." Several authors tell how their colleges and universities developed academic and service programs that, by contributing to the public interest, naturally have built public support for the sponsoring institution. Harvey Jacobsen of the University of Michigan adds a helpful chapter outlining factors that inhibit and those that foster good communication with target groups.

28:2.3/78-1
"To Tell The Truth," Fred Hechinger, Change, Vol. 10, No. 4, April, pp. 56-57.

This brief but valuable article describes the philosophy and operating procedures of Stanford University's news service, undoubtedly the one held in highest esteem by the nation's news media. The philosophy, initiated in 1946 by Fred Glover and developed by Robert W. Beyers, who now heads the operation, can be summed up

in Beyer's phrase, "In times of crisis, candor pays." Hechinger points
out that Beyers and his staff operate as if they were an independent
news operation covering the campus. The author outlines the prob-
lems and benefits of this approach.

28:2.3/78-2
Making Your News Service More Effective, Joel S. Berger, ed.,
189 pp. (Council for Advancement and Support of Education,
Washington, D.C.).

   This handbook includes material on managing and operating the
news service. It discusses programs for print and broadcast media,
and contains a "futures file" section that includes material on new
developments in electronic media, the importance of photographs,
crisis planning, and the use of the computer in news service work.

28:2.3/78-3
The "How-To" Book, Joan Lynott Watt, 49 pp. (Office of
Public Relations, University of Puget Sound, Tacoma, Wash.).

   This book is one of the best practical guides available on how to
plan and carry out successful college and university special events. The
author, drawing on strong campus experience, covers these topics:
getting clearance for the event, scheduling timetables, staffing, book-
ing facilities, budgeting, planning food functions, arranging auxiliary
events, audio-visual needs, traffic and parking, emergency informa-
tion and security, and follow-up. She also deals with publications and
media coverage.

28:2.3/77-1
"A Press Policy Is a Must," Arthur V. Ciervo, *CASE Currents,*
Vol. III, No. 2, February, pp. 13-15.

   This article summarizes the case for a written policy on how a
college or university will deal with the media. The author cites as ex-
emplary a policy that calls for the public relations director, in the
event of a crime or controversy as well as in routine matters, to see
that the media get the facts as quickly as possible. To implement such
a policy, the president calls on all members of the campus community
to cooperate fully with the public relations office. The article also
gives guidelines for faculty and staff to deal with the media.

28:2.3/77-2
Improving Relations with the Public, New Directions for Community Colleges, No. 20, Louis W. Bender and Benjamin R. Wygal, eds., 104 pp. (Jossey-Bass, San Francisco).

This volume provides a comprehensive description of an external and media relations program for a 2-year college. Of special interest are chapters on the components of a model public relations program, the methods involved in planning a community-based marketing program, the legal aspects of public relations, authority and control, and the ways to assess results.

28:2.3/74-1
Handbook of Special Events for Nonprofit Organizations, Edwin R. Leibert and Bernice E. Sheldon, 224 pp. (Association Press, Chicago).

Although not written specifically for colleges and universities, this book contains guidance on staging special events. Separate sections cover public relations/cultivation events and those intended for fundraising. The authors include a compilation of ideas for special events.

28:2.3/74-2
Successful Public Relations for Colleges and Universities, Sidney Kobre, 452 pp. (Hastings House, Inc., New York).

This book's major emphasis is on external and media relations. Of special interest are sections about print, visual, and broadcast media. Unfortunately, the book does not deal extensively enough with public relations research and planning.

3.0 FUNDRAISING (DEVELOPMENT)
3.1 General/Organization and Administration

28:3.1/81
Not for Ourselves Only: A Case Book on Fund Raising for Education, Francis C. Pray, ed., (to be published in 1981, Jossey-Bass, San Francisco).

This book contains articles about development for universities, colleges, and schools. Designed for use primarily by the development officer, the book also contains material of interest to presidents and trustees. Major sections of essays, contributed by more than 50 authors, discuss the scenario for fundraising: the people (sources of support, channels of support, workers of support); organization and management; the development officer; ethics and government con-

straints; comments by presidents who were once development officers; a series of short "one pagers" on trials and triumphs; and a look at the future of development and the development officers. Three essays consider the special problems of the independent school, the community college, and the Catholic-affiliated college.

28:3.1/79-1
Analyzing the Cost Effectiveness of Fund Raising, New Directions for Institutional Advancement, No. 3, Warren Heemann, ed., 99 pp. (Jossey-Bass, San Francisco).

This book deals with cost-effectiveness analysis in college and university fundraising. Consideration is given to statistics gathered from many institutions over a number of years, in-depth studies of limited groups of institutions, and specific guidelines for defining costs of development programs. Chapters include: "The COFHE Development Study: Insights and Implications" by Richard J. Ramsden; "The Cost Effectiveness of the Pomona Plan" by Howard C. Metzler; "Variations in Fund-Raising Potential Among Colleges and Universities" by John W. Leslie; and "How to Find Out What It's Really Costing You To Operate All Those Fund-Raising Programs" by Robert D. Teitelbaum.

28:3.1/79-2
Fund Raising, The Guide to Raising Money From Private Sources, Thomas E. Broce, 254 pp. (University of Oklahoma Press, Norman).

This book provides clear, specific guidance on how to design and implement a successful fundraising program. Dr. Broce's step-by-step approach shows: how to get annual gifts and foundation and corporate support; how to run a capital campaign; and how to identify, evaluate, and solicit prospects. Appended are useful models for case statements, inquiry and proposal letters, and formal proposals, as well as organizational and flow charts, time schedules, and a detailed action outline.

28:3.1/66
Design for Fund Raising, Harold J. Seymour, 210 pp. (McGraw-Hill Book Co., New York).

H. J. Seymour in his book presents a wealth of both practical and theoretical guidance. Though dated, this is the best work done on the personal aspects of fundraising.

3.2 Annual Giving

28:3.2/80

Increasing Alumni Giving, New Directions for Institutional Advancement, Patrice A. Welch, guest ed., 112 pp. (Jossey-Bass, San Francisco).

Several articles explore the rationale and techniques of establishing an annual fund program. The first chapters are devoted to the need for: precampaign planning; development of the case statement; and cultivation, identification, enlistment, motivation, and training of volunteers. Subsequent chapters deal with specific techniques which are important elements in building a successful annual fund: direct mail, phonathons, leadership giving, and reunion giving. The last chapter offers a perspective on how to structure an annual fund at different types of institutions, and some thoughts about future directions of annual funds.

3.3 Capital Campaigns

28:3.3/79

Capital Ideas, M. Jane Williams, 320 pp. (Fund Raising Institute, Ambler, Pa.).

This handbook contains the results of a year's research into the most successful methods of conducting a capital campaign. Based on documented case histories of successful capital campaigns, including advice and comment by many professionals in the field, this study outlines the most vital elements of an operating plan and campaign budget. Topics discussed in the section dealing with an effective operating plan include: statement of organizational purpose, goals of the campaign, campaign components, volunteer leadership, and staff and volunteer assignments. In addition, organizational charts, a table of needed gifts, and examples of schedules are provided. The second half of the book outlines the necessary budgetary considerations needed to implement the operating plan. Discussion of probable expense includes such matters as salaries, consulting fees, travel, office supplies, and postage. Guidelines are offered for preparing a budget formula that is applicable to the specific size and needs of the individual institution.

This book takes into account the fact that capital campaigns differ too greatly to provide standard formulas for success. What it does do is offer the tools and guidelines for the individual institution or organization to structure its own unique design for developing an operational plan and budget for a successful capital campaign.

3.4 Deferred or Planned Giving

28:3.4/80

Deferred Gifts: How To Get Them, George V. King, 198 pp.
(Fund Raising Institute, Ambler, Pa.).

This manual emphasizes the practical, promotional, and managerial aspects of initiating and running an effective deferred giving program. Designed to provide a general outlook for both the newcomer and those wishing to revamp current programs, this text stresses techniques for marketing, advertising, long-range planning, and administration, rather than the more technical tax and legal aspects. Examples and explanations of successful deferred giving programs launched by a wide variety of large and small nonprofit organizations makes this text applicable to virtually any nonprofit organization.

28:3.4/79

Tax Economics of Charitable Giving, 7th edition, pp. 25-52, (Arthur Andersen & Co., Chicago).

Chapters 5 through 9 outline methods of charitable deferred giving in terms of the current tax structure. The major emphasis is on income tax, based on the tax law of January 1, 1979, including pertinent provisions of the Federal Revenue Act of 1978. Estate and gift taxes are also discussed. Careful consideration is given to the tax benefits of the various forms of deferred giving, including charitable remainder annuity trusts, unitrusts, and pooled income funds. The information is divided into the following topics: "Deferred Giving—Basic Income Tax Aspects"; "Deferred Giving—Special Problems"; "Deferred Giving—Gift and Estate Tax Aspects"; "Deferred Giving Methods—Which is Best?"; and "Charitable Gift Annuities."

28:3.4/78

Guide to the Administration of Charitable Remainder Trusts, David W. Clark, Robert L. Kaiser, John Holt Myers, and Robert H. Myers, Jr., 348 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This publication is designed as a primer and practical guide in workbook form for those responsible for the administration of charitable remainder gifts in accordance with the Tax Reform Act of 1969. An excellent reference for both business officers and deferred giving officers, this book deals with the major aspects of administering annuity and life income programs. Considerable discussion is given to the technicalities of tax regulations and IRS rulings for pooled income funds, unitrusts, annuity trusts, charitable gift annuities,

charitable income trusts, and gifts of residence. Sections for each include: definitions, investment considerations, how to calculate deductions, and specific tax regulations with sample forms, documents, and tax tables provided as worksheets. A useful text for the deferred giving administrator.

3.5 Foundation Relations/Corporate Support

28:3.5/79

Taft Trustees of Wealth: A Biographical Directory of Private Foundation and Corporate Foundation Officers, 5th edition, James K. Hickey, ed., 565 pp. (Taft Corp., Washington, D.C.).

Designed as a "Who's Who" for corporate and private foundations, this publication lists the biographical data for 7,600 trustees and officers representing 4,500 family, general purpose, corporate, community, and operating foundations. Both for systematic prospect research and general reference, this publication aides nonprofit organizations in targeting the appropriate individuals to cultivate and solicit as potential donors. Biographical material includes educational background, club memberships, corporate and nonprofit affiliations, place of residence, and past and present employment. In addition, two indexes cross-reference individuals by foundations and by state. This publication is the most comprehensive of its kind.

The following book is cited and annotated under Topic 28:3.0 Fundraising (Development) (28:3.1/79-2). **Fund Raising: The Guide to Raising Money From Private Sources**, Thomas E. Broce, pp. 121-128, (University of Oklahoma Press, Norman).

This chapter provides a good explanation of the motivations behind corporate philanthropic giving. Suggestions are offered for how educational institutions and other nonprofit organizations can use these motivations to their advantage through careful identification, cultivation, and solicitation. The information is general, but helpful as a concise overview of corporate interests in giving.

28:3.5/78

CFAE: The Casebook, Aid-to-Education Programs of Leading Business Concerns, 10th edition, Council for Financial Aid to Education, 232 pp. (CFAE, New York).

This edition of the *Casebook* contains a descriptive sampling of leading corporations with established programs of support to education. Each corporate educational support program is described in a profile which outlines the dollar value of gifts to education in the

previous year, the general purposes of support (to whom and where they are interested in giving), and what types of support are granted. The listing includes both corporations who donate through a corporate foundation and those who do not, and is thus an excellent companion piece to the numerous publications which list only those with foundations. Breakdowns of giving include: amounts given for unrestricted operating grants, departmental and research grants, matching gifts, and indirect grants through such organizations such as the United Negro College Fun . This is invaluable for anyone involved with educational fundraising.

28:3.5/77

Taft Corporate Foundation Directory, Jean Brodsky, ed., 373 pp. (Taft Corp., Washington, D.C.).

This volume contains detailed individual profiles of 276 company-sponsored foundations, representing corporations with facilities in all 50 states, the District of Columbia, and numerous foreign countries. Profiles are organized to provide complete information about the company itself and the areas of funding interest for the company foundation. Particularly useful is the grant information, which includes the range and average size of grants and lists approximately 100 samples of grants awarded in the most recent year that that information is available. This publication is a concise reference for pinpointing potential corporate foundation funding sources.

4.0 ALUMNI RELATIONS
4.1 General

The following book is cited and fully annotated under Topic 28:1.0: Institutional Advancement Program: Integrated Approach (28:1.1/77), but Part III is briefly annotated here because of its relevance to this section.

Handbook of Institutional Advancement, Part III, "Alumni Administration," pp. 275-338, Robert A. Reichley, (Jossey-Bass, San Francisco).

This section has six components: an overview of the alumni movement, the make-up of alumni volunteers, the nature of alumni staff, alumni programs, alumni clubs and reunions, and alumni publications. Views of selected alumni administrators throughout the country are compared and contrasted; characteristics for leadership within the volunteer system and roles a staff member plays are discussed. Factors which have had influence on programming are listed,

with an emphasis on continuing education events and closer alumni/ undergraduate relations. Some events now sponsored by alumni organizations include: on-campus seminars, off-campus seminars, alumni colleges, one-day forums, special graduate programs, existing academic courses, print projects, movies, tapes, video, and educational tours. Money-saving devices are suggested to handle programs for clubs and reunions. The strength of reunions, however, is being challenged by basic changes in the class structure of the university systems, growth of institutions, students' changing lifestyles, and shifting attitudes of alumni.

4.2 The Profession

28:4.2/79

"Alumni Relations: Moving Into the Mainstream," Robert G. Forman, **Alumni Relations,** a special issue of *CASE Currents,* Vol. V, No. 5, May, pp. 6-9, (Council for Advancement and Support of Education, Washington, D.C.).

In this article, part of an issue devoted exclusively to the profession of alumni relations, the author traces the history of alumni relations from the first alumni association in 1821 to the present. The profession has moved through three phases. During the organizational phase, alumni relations went from only offering social involvement for alumni to offering alumni support for the alma mater. The second stage has been one of developing a wide variety of programs and techniques for carrying out those programs. The final phase is the one for which the article is subtitled, notably, "Moving Into the Mainstream." In the future, the author believes the alumni relations office and its professionals must move from the background into the mainstream of efforts to safeguard the life of American colleges and universities.

28:4.2/78

"A-L-U-M-N-I Doesn't Just Spell M-O-N-E-Y," Robert G. Forman, *CASE Currents,* Vol. IV, No. 9, October, pp. 16-18.

These are the thoughts of a professional alumni administrator. In this article, the author examines the role of alumni administration and those who work in the profession. He points out that although alumni do contribute financially to their alma maters, they also can and do make significant nonmonetary contributions. It is the author's belief that if the value of a good alumni program is to be appreciated fully, it must be understood that alumni "hands" as well as dollars can aid the institution. In addition, it should be remembered that

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alumni have a greater interest in the well-being of the institution than perhaps any other group associated with that institution.

The author views the job of the alumni professional as a unique one, and one which, when done well, can result in success on many fronts at the institution.

4.3 Organization and Administration

28:4.3/79

Alumni Administration at State Colleges and Universities, B. E. Blakely, 30 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This report is the result of a nationwide survey of alumni directors at state colleges and universities and provides useful information about alumni professionals and their attitudes about their work.

The Blakely study examines four areas of concern for alumni professionals: work satisfaction, current issues in the conduct of the alumni program, changes taking place in the emphasis given to various aspects of the alumni program, and the use of support services provided by the Council for Advancement and Support of Education.

To determine job satisfaction, the study examines the alumni professional's satisfaction with job security, opportunity for innovation, living environment, salary, fringe benefits, and performance recognition.

To address the issues which affect the conduct of the alumni program, the study examines the image of the alumni office, its staff, its relationship to the faculty, students, and recent graduates, and the adequacy of resources available for performing the job at hand.

In attempting to determine changes in emphasis for alumni programs today, a wide variety of programs and services are examined. They include: student recruitment, alumni publications, alumni clubs, homecomings and reunions, alumni tours, young alumni programs, student involvement programs, alumni surveys, constituent relations, and fundraising efforts.

Finally, the study looks at member services provided by CASE. Alumni professionals were questioned about attendance at CASE professional development programs, the topics offered at those programs, the usefulness of the organization's magazine, CASE Currents, and the overall helpfulness of the organization.

28:4.3/67

Handbook for Emerging Alumni Programs, Robert R. Hesse, ed., 142 pp. (Confederation of Alumni Associations of the State University of New York, Albany).

The State University of New York is the largest multi-campus system in the country. To organize and coordinate all of its sites, a practical handbook was written for use by its alumni associations. A constitution, by-laws, goals and objectives, the governing board, leadership, and independent alumni associations contrasted with institutional alumni programs comprise the segment entitled "Organizing the Alumni."

"Alumni Committees" focuses on the value, types, evaluation, and function of committees. A third portion of the compendium addresses "Communicating with Alumni." Such topics as newsletters, titles, symbols, newspapers, communication and editor's guidelines, printers, budgets, direct mail, alumni clubs, annual reports, modern audio-visual techniques, and mailing are covered with practicality and direction. "Alumni Record-Keeping" provides samples of record-keeping systems, bibliographical data forms, sources of information, computer record forms, postal service abbreviations, and codes (salary, curriculum, occupation) indigenous to the SUNY system.

The final section, "Annual Giving," provides an overview, suggests objectives, and defines the program (need capabilities and organizational structure). "Organizing the Drive" discusses the chairman's role, the need for introducing a favorable climate, organizing volunteers, the solicitation by class, and setting goals. "Asking for Funds" provides information on personal solicitation, the "shotgun" approach, corporate giving, direct mail, and telephone solicitation. "Closing the Campaign" details final activities for the benefit of the following year's campaign.

4.4 Services

28:4.4/80

Manual for Student Alumni Programs and Foundations, Patricia Alberger, ed., 65 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This booklet is a compilation of presentations made at a special conference sponsored by CASE on programs which involve undergraduates in college and university advancement. The transformation of a graduate into a good alumnus does not just happen. It takes hard work beginning right on campus during the undergraduate years.

The manual examines how student alumni programs and foundations can serve colleges and universities, and suggests methods for starting a student program, finding the right students, and building a program from scratch. It also looks at budgeting, promotion, activities and fundraising projects, involvement of faculty members, administrators, alumni, and where ultimate responsibility for the program rests. Finally, the booklet offers suggestions for keeping the established program alive and well and for turning involved students into involved alumni.

28:4.4/78

The Alumni College Movement, Linda Carl, 63 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This booklet summarizes the results of a nationwide survey of colleges and universities that offer alumni colleges. For the purpose of this study, an alumni college was defined as a 5- to 7-day residential experience for adults, focusing on the noncredit study of liberal arts and sponsored by an institution of higher education. Alumni colleges can take many forms. Some offer rigorous classwork; others are combinations of education and recreation. The alumni college, however, is not synonymous with continuing education for alumni; it is just one of the ways continuing education can be offered.

The author provides an overview of the history of alumni colleges, the types of institutions and organizations which sponsor them, and the kinds of individuals who attend them. It also examines the structure of alumni colleges, the topics that are covered, and the promotion, planning, and administration necessary to carry out the program. Finally, the advantages and the disadvantages of conducting alumni colleges are reviewed.

28:4.4/76

"Alumni Dues and Don'ts," Nancy Harper, CASE Currents, Vol. II, No. 10, November, pp. 14-18.

This article was prepared following a survey of the top 20 U.S. colleges and universities in total voluntary financial support during 1974-75. The study was made to determine what effect, if any, the collection of dues by an alumni association has on the total voluntary financial support of the institution. The survey for this article found virtually no evidence that collection of dues by an alumni association affects the voluntary support of the institution.

The author also contacted alumni professionals at eight other institutions who strongly believe that alumni associations should collect dues and eight others who believe just as strongly that they should not. Each was asked specific reasons for his or her position.

5.0 GOVERNMENT RELATIONS
5.1 General/Organization and Administration

The following volume is cited and annotated fully under Topic 28:1.0: Institutional Advancement Program: Integrated Approach (28:1.1/77), but Part IV is briefly annotated here because of its relevance to this section.

Handbook of Institutional Advancement, Part IV, "Government Relations," Edwin M. Crawford, pp. 341-385, (Jossey-Bass, San Francisco).

This part includes four chapters on effective government relations in the context of an institution's advancement goals. Crawford's "overview" chapter briefly traces the growing need for universities to have state and Federal Government relations programs, and offers some advice on how they should operate. James F. Vickrey, Jr.'s chapter, "Principles for Effective Government Relations," covers: a government relations program's relation to the institution's mission and goals; policy, responsibility, organization, and implementation of the program; and the methods for involvement of key internal and external groups as well as other institutions and professional associations. Ray R. Hornback's chapter, "State and Local Jurisdictions," provides guidelines for dealing with governors and state legislatures. Robert E. Freelen's chapter, "The Federal Network," focuses on the legislative process in Congress from higher education's perspective, and briefly covers the executive branch agencies which provide funds and impose regulations. It also discusses higher education lobbying, its restrictions and evolving styles.

28:5.1/81

Improving Government Relations, New Directions for Institutional Advancement, Marvin D. Johnson, ed. (to be published in 1981, Jossey-Bass, San Francisco).

This volume's focus on government relations in the 1980s will give the reader an up-date on new trends. Areas included are: rationale for government relations; principles of government relations for use at all levels of government; the trustee's and president's roles in government relations; cultivating grassroots support; the changing role of associations in government relations; college and university litigation in government relations; use of media in government relations; issues of the 1980s; and evaluating government relations programs. There is also a bibliography.

See also: 20:2.3/78 The Law of Higher Education, William A. Kaplin.

This clear, concise, well-organized book provides information and guidance about Federal and state laws, regulations, and court rulings which presidents, other campus administrators, and their legal advisers must take into account. William Kaplin, a law professor at Catholic University of America and editor of the *Journal of College and University Law*, succinctly analyzes the law's impact on an institution's relations with its own trustees, administrators, faculty, and students—and with the local community, Federal and state governments, and accrediting agencies. He writes in layman's language, with annotated bibliographies after each chapter for those seeking more extensive information, and includes cross-referenced case and subject indexes at the end of the book. He covers almost every significant aspect of the law's influence on higher education institutions, from civil rights compliance and collective bargaining to student discipline, zoning ordinances, and accreditation. This is an essential, easily used, and refreshingly readable reference book.

28:5.1/72
"Coordinating Institutional Resources in State and Federal Relations," Lyle M. Nelson, American College Public Relations Association's *Techniques*, Vol. VII, No. 3, June, pp 7-9.

Lyle Nelson, chairman of the Department of Communication at Stanford University, stresses the importance of gathering as much relevant information as possible in order to influence policy decisions effectively. He describes his own files on government relations contacts, including such matters as biographical and other personal information on each, names of campus individuals who know them, and key alumni who might influence them. Nelson's article is one of several in a "special report" on higher education and government in this issue.

5.2 State and Local Government Relations

28:5.2/78
"Cultivate Your Backyard," H. Donald Winkler, *CASE Currents*, Vol. IV, No. 5, May, pp 8-11.

H. Donald Winkler, director of public affairs at California State University-Fresno at the time he wrote this article, discusses a number of practical ways in which colleges and universities can reduce "town-gown" frictions and cultivate community support. Other articles in this same issue relate how institutions resolved conflicts with community groups over campus expansion plans, and how a junior col-

lege's long-term community relations efforts paid off in the success of a bond-issue referendum campaign.

28:5.2/77
"Influencing State Higher Education Policies," Chapter 11, Roger W. Heyns, ed., pp. 186-206 in *Leadership for Higher Education,* (American Council on Education, Washington, D.C.).

Two presidents of state institutions, Lattie F. Coor of the University of Vermont and William E. Davis of the University of New Mexico, write complementary prescriptions for having a positive impact on state policymakers. Lattie Coor, in "Making the Case for Higher Education," observes that the initiative for formulating issues affecting higher education policy has shifted from individual institutions and their presidents to state boards, commissions, or other agencies. He adds that management concerns often dominate the issues so formulated, overshadowing broader questions of higher education's role in the state and society. Coor insists that these broader questions be raised in the policymaking arena, and calls upon institutional presidents to take the initiative in developing a broad base of political support among key leaders throughout the state who can be higher education's spokesmen on these larger questions. He suggests five basic principles for a long-term strategy to bring this broader-based political support to bear on state higher education policy.

William Davis, in "How to Work with State Legislatures," draws on his own experience for advice to university presidents on playing a strong personal role in influencing state policymakers. Noting that legislators "want to deal with the top man," Davis asserts that the university president must take the lead in coordinating his institution's legislative program. While avoiding the "lobbyist" label, he should get to know state lawmakers personally, including visits to their home towns between legislative sessions. He should know the state's formal and informal power structure, including the power structure of the legislature itself and how it makes key decisions. Davis stresses that the president's credibility, and overall confidence in the institution and those who run it, can be crucial to legislative success.

Stephen Horn, president of California State University-Long Beach, carries Coor's suggestion for broad-based political support a step further by recommending creation of permanent, blue-ribbon citizens' panels in each state to monitor public attitudes and speak out on behalf of preserving the powers of institutional presidents and trustees against increasing legislative intrusion. Horn's section of the chapter is entitled "The Higher Education Climate: Separating Facts from Myths."

5.3 Federal Government Relations

28:5.3/79

Bureaucrats and Brainpower: Government Regulation of Universities. Paul Seabury, ed., 150 pp. (Institute for Contemporary Studies, San Francisco).

In Chapter 2, "Federal Regulation and Institutional Autonomy: A University President's View" (pp. 27-45), Richard W. Lyman, former president of Stanford University, writes a hard-hitting but instructive critique of how Federal Government regulation affected one major university and how that university responded. He draws lessons from Stanford's experience that apply to other institutions as well, and calls on academic leaders "to equip ourselves to do better at the defense of our legitimate interests." He suggests six strategies: learn how regulatory policy is established and how to influence it; teach and do research on Federal regulation; make political alliances with other interest groups; avoid overreaction and crying "Wolf!"; know when *not* to compromise; and be willing, when certain Federal aid programs are concerned, "to look gift horses squarely in the mouth."

28:5.3/76

"Seeking Federal Funds," Frances Freeman, *CASE Currents,* Vol. II, No. 11, December, pp. 16-17.

This article provides practical advice on the roles and functions of the Washington representative and on-campus Federal program coordinator in securing Federal dollars for college and university projects.

6.0 COMMUNICATIONS
6.1 General

28:6.1/71

The Process and Effect of Mass Communication, revised edition, Wilbur Lang Schramm and Donald F. Roberts, eds., 990 pp. (University of Illinois Press, Chicago).

This collection of articles, a revision of the original 1954 edition, deals with the question of how communication works and what it does. The revised edition covers issues that have been raised since 1954, as well as continuing to contain "classical" articles on communications.

The articles examine the new dynamic models of communications effect, such as consistency theory, and the important contributions that have been made to communications theory and method

from some of the great field laboratories where communication is being used and studied in such areas as political campaigns, economic and social development, and the effect of television on children.

The 1971 edition is a combination of old classics li:·e Walter Lippman's "The World Outside and the Pictures in Our Heads," modern classics such as Marshall McLuhan's "The Medium Is the Message," and reports on the state of the art in important areas of communication study.

6.2 Periodic and Non-Periodic Publications

28:6.2/79-1.

Communicating With Alumni, Dorothy Williams, ed., 120 pp. (Jossey-Bass, San Francisco).

This book examines the impact and influence of alumni communications. It traces the development of alumni journalism and shows the crucial role alumni communications play in continuing the education of an institution's alumni. Because the book examines in-depth all types of communication and the ramifications of each in different situations, it is relevant for presidents, public relations professionals, and development officers as well as publications editors. The book covers highly practical issues such as the economy of changing formats, editing class and club notes, converting speeches into articles, producing a low-budget slide show, how to use direct mail to attract alumni to college events, and how to apply design principles. It also thoroughly discusses philosophical issues such as the freedom and future responsibility of the alumni press, the nature and importance of visual communications, the strengths and weaknesses of electronic media, the accuracy and entertainment factor of slide shows, and the new directions of alumni communications.

28:6.2/79-2

Creative Editing and Writing Workbook, Emily P. Flint, ed., 225 pp. (Council for Advancement and Support of Education, Washington, D.C.).

In articles by 30 professional editors, this loose-leaf workbook covers every aspect of periodical editing and writing. A special section of editing and writing exercises that can be used to sharpen skills or to conduct workshops is also included. Although the book is intended for use by alumni editors and college/university publication managers, the information is basic enough to apply to anyone involved in editing and writing. Articles discuss: editing and freedom of the press, individuality and how to achieve it, writing for educated

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readers, tips on creative editing, science writing and editing, applying readability formulas to copy, artful interviewing, skillful newswriting, dynamic headlines and effective captions, use of humor and style to make class notes sparkle, writing persuasively for prospective students and for alumni donors, avoiding stereotyping, writing and editing speeches, proofreading and dummying up, and professional standards for editors.

28:6.2/78-1

Developing a Publications Policy (microfiche), Virginia L. Carter, ed., 96 pp. (Council for Advancement and Support of Education, Washington, D.C.).

A major portion of this microfiche consists of a survey of university publications policies of institutions in the western United States. Also included are the individual publications policies from several institutions. Some policies include graphic identity standards.

28:6.2/78-2

Effective Publications for Colleges and Universities, Kelvin Arden and William J. Whalen, 165 pp. (Council for Advancement and Support of Education, Washington, D.C.).

This loose-leaf book is a comprehensive study of the elements of a successful publications program. Compiled by two experienced publication directors, the book is full of practical information. The authors explain how to organize the office and staff, buy printing, edit copy, and use art and photography. Separate chapters deal specifically with major publications such as annual reports, catalogs, faculty-staff newsletters/newspapers, fundraising publications, and faculty, student, and other handbooks. There is a section on direct mail with a useful A to Z checklist and a special section on direct mail for fund-raising. A sample style manual and exhaustive bibliography are also included in the handbook.

6.3 Direct Mail

28:6.3/79

Successful Direct Marketing Methods, second edition, Bob Stone, 370 pp. (Crain Books, Chicago).

This is the second edition of a comprehensive book that is written for both novices and professionals. In practical, down-to-earth style, the book covers examples and case histories of actual companies, and includes almost 100 illustrations of effective ads. Included in the book are chapters on: starting a direct marketing operation

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(deciding how to shape your offer, considering how to select your product); choosing media for your marketing message (mailing lists, magazines, newspapers, broadcast, co-ops, and telephone marketing); and creating and producing direct marketing materials, direct mail packages, catalogs, and print advertising.

The new edition contains case histories of successful entrepreneurs and corporations, new material on mailing lists, broadcast techniques, telephone marketing, and techniques for catalog preparation and distribution.

6.4 Audio-Visual Communications

28:6.4/77

AV Instruction, Technology, Media, and Methods, James W. Brown, Richard B. Lewis, and Fred F. Harcleroad, 350 pp. (McGraw-Hill Book Co., New York).

This book is designed as a text for preservice and inservice teachers, media specialists, and librarians; it may also be used for independent study. Basic concepts are presented with numerous examples, and readers should have no trouble applying the information presented. The four opening chapters deal specifically with the rationale and means for audio-visual instructional development. Subsequent chapters discuss individual media areas in depth: their selection from commercial or other sources outside schools; their production by teachers, students, media technicians, or media professionals; and their use in achieving learning objectives. The final chapter projects the future of education and of educational media and technology.

Six reference sections constitute a major portion of the book. Four of these include technical information and suggestions for operating equipment and improving facilities for instruction with media. The other two sections contain selective lists of sources of information and references.

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Institutional Financing and Budgeting

Eric V. Ottervik

Questions of finance, budgeting and resource allocation are uppermost in the minds of most college administrators in today's world of high inflation and declining enrollments. Such questions are intimately interwoven and treated together in many of the referenced documents. The overlap is most clear with respect to resource allocation; finance and budgeting can be treated somewhat separately.

Financing. This section considers the basic economic factors affecting all institutions as well as the immediate financial situation facing the individual campus. Where will the dollars come from and how will they be spent? How are internal expenditures distributed among functions and programs? Much of the literature deals with financial exigency and the difficult problems associated with the various sources of funds in today's economic climate. State and national, as opposed to institutional, considerations of economics and finance are located in Volume I, Chapter 3 and Chapter 5, respectively.

Budgeting. Daily and annual decisions are involved in estimating the funding from various sources and the concomi-

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tant distribution of these funds among competing activities. Understanding the elements of an institution's budget in any one year is difficult enough; understanding the various processes leading to that budget is an esoteric topic, although the literature of the seventies is particularly strong in presenting various budgeting systems.

Resource allocation is, in effect, the strategic exercise of *budgetary* options to improve an institution's short- or long-term *financial* situation. It should, but unfortunately does not always, involve a simultaneous attempt to maximize educational opportunity within the financial constraints imposed.

Resource *reallocation* is perhaps a more accurate description of the situation in which institutions increasingly find themselves. Phrases such as "more for less," "steady state," "retrenchment," "demographic or enrollment slump" are frequently encountered. Efficiency, cost-effectiveness and productivity are management concepts being introduced into our "industry" in an attempt to maintain educational quality while sacrificing some of the amenities or less essential elements of the traditional campus management style. Chapter 13, "Productivity and Cost-Benefit Analysis," provides a comparative macro-overview of this topic.

The effective reallocation of resources is *de facto* a long-range planning process, since there is a considerable time lag between reallocation decisions and their visible effect. Institution-wide commitment to and involvement in the process are essential. Given today's financial and demographic situation and projections, allocation decisions are often trade-offs between desirable ends.

In such a climate, computer-based modeling techniques are likely to prove useful in dealing with complex decisions whose effects will be far flung throughout the budgetary system and over time. Resource trade-offs can easily be examined in terms of their effect on long term financial equilibrium and their consideration of decisionmakers' input parameters. Such techniques, while only an aid in the decisionmaking process, are increasingly valuable and essential in examining the financial consequences of choosing among academic alternatives. In fact, the computer-based models can effectively synthesize the various planning elements on campus—academic, physical and

fiscal—into a whole that indicates clearly the possible future paths for the institution. Recent literature citations increasingly recognize these considerations. (See Chapter 10 for a broader presentation of quantitative approaches to management.)

TOPIC ORGANIZATION

1.0 FINANCING
1.1 Economics and Financing

29:1.1/80

College Financial Management, E. Eugene Carter, 186 pp. (D.C. Heath Co., Lexington, Mass.).

    Eugene Carter has written what almost amounts to a textbook on college financial management, with detailed explanations of concepts from economics and finance that should be useful to college administrators not specifically trained in such fields. The interest of the book in this section lies in its emphasis on the financing of various aspects of an institution's efforts. There are, for example, chapters on financing dormitory construction, using Prairie State University as a case study, and on endowment management, using Georgetown University as a case study. Tuition and student aid policies and strategies are also examined.

    A final chapter is devoted to long-range financial planning. Wichita State University provides an indepth case study of various financial planning problems, with emphasis on the use of the AAUP tenure model. Faculty promotion ratios and tenure percentages are seen as critically affecting the long-term financial stability of an institution.

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Carter's book is not one to read quickly or casually, but is very informative and helpful to the administrator or student of higher education administration seeking both a conceptual and practical background in financial management.

29:1.1/73-1
From Red to Black, William W. Jellema, 174 pp. (Jossey-Bass, San Francisco).

This book is subtitled "The Financial Status of Private Colleges and Universities." It is based on a large survey taken over 2 years (1970 and 1971) with responses from almost three-quarters of all accredited 4-year private institutions. The results are not promising. The average institution was running a deficit by 1970. One-quarter of them were using endowment capital for operations. Smaller institutions with fixed costs per student cannot tolerate enrollment drops, while larger institutions have expensive research programs and equally inflated costs in other areas. Many colleges were found to have exhausted their liquid assets and to be nearing extinction. The author projects that nearly 30 percent of private institutions could be out of liquid assets by 1980. His update of that estimate, based on incomplete data one year later, is even more pessimistic.

After this harsh beginning, Jellema turns to specific questions of financing. He gives a detailed analysis of sources of funds and their distribution, with a separate chapter on enrollment as it relates to income. He presents a similar analysis of institutional expenditures and their distribution, with particular emphasis on faculty salaries and instructional costs as well as student aid. A section on physical plant expenditures and indebtedness provides some seldom-found perspectives on long-term problems that are not always considered.

Institutional responses to incurred deficits are examined. Fiscal ones are generally inadequate, with too much hope placed on increased Federal aid or other income and too little energy given over to reducing costs. Worse, mounting educational deficits are leading to such ominous indicators as enrollment declines. Jellema makes a plea for institutional academic reshaping and excellence to attract students as well as to increase productivity.

Although the book is somewhat dated (fortunately) in that its dire predictions have not yet come true, the demographic data and economic climate of the eighties make it very timely reading.

29:1.1/73-2

The Management and Financing of Colleges, Research & Policy
Committee of the Committee for Economic Development, 95
pp. (Committee for Economic Development, New York).

This influential document speaks with authority and incisiveness
to many issues facing higher-education institutions in these times of
slackening enrollments and inflation, problems seen as pervasive
7 years ago.

The Committee identifies six purposes of higher education that
should be related to funding: (1) knowledge and the stimulation of
learning; (2) an educated citizenry; (3) education to achieve specific
social goals; (4) supplying trained men and women; (5) equality of op-
portunity; and (6) economic growth and productivity. The document
makes a wide variety of recommendations to improve the manage-
ment and financing of undergraduate education. These include: (1) es-
tablishment of a policy committee to define institutional goals; (2) a
distribution of responsibility to match authority with accountability;
(3) involvement of faculty and students in institutional governance;
(4) careful planning, with the best management principles and tech-
niques, particularly in the instructional area; (5) an approximate
50 percent tenure quota; (6) Federal and state grants and loans to
students based on need, including more Federal loans; (7) an increase
in tuition and fees to 50 percent of instructional costs; (8) general-
purpose grants to institutions by state and local governments; (9) state
and local contracting for services with private institutions; (10) Fed-
eral and state grants for special programs to meet particular social ob-
jectives; and (11) tax incentives to encourage private giving.

29:1.1/72

Universal Higher Education: Costs, Benefits, Options, Logan
Wilson and Olive Mills, eds., 342 pp. (American Council on
Education, Washington, D.C.).

The American Council on Education publishes each year a
volume comprising papers prepared for its annual meeting of the
previous year. The above volume contains the papers from the ACE
1971 meeting. Because of the breadth of the topic, not all the papers
are relevant here, but a considerable number are. Of the four major
sections of the volume, the middle two are: "Financial Problems of
Institutions" and "Financing University Higher Education." A
definitive and now-famous paper introduces each section, which con-
cludes with comments by several panelists on the respective papers.

Frederick Balderston's paper, "Varieties of Financial Crisis,"
examines the various forms of financial stress, as opposed to crisis, an

institution might face. Balderston conceptualizes five models of such stress: (1) expanded academic aspiration; (2) time passing; (3) stabilization after growth; (4) conscientious overcommitment; and (5) income tapering. He presents analyses of cost trends in such areas as personnel, library materials, equipment, and financial aid. The paper is a succinct but thorough diagnosis of the problem.

Virginia Smith's paper, "More for Less: Higher Education's New Priority," explores some possible ways of dealing with the results apparent from Balderston's diagnoses. She makes an urgent and cogent plea for efficient use of resources, increased productivity, economies of scale, better utilization of physical facilities, contracting for services, off-campus programs, and new instructional techniques. Along with specific suggestions for such efforts, she discusses some of the specific impediments to change, including failures in the budgeting process to take account of program development, inadequate attention to costs or measurements of output, lack of faculty interest in the educational process as such, and a mistaken belief that high cost must mean high quality.

These two pivotal papers and the comments that follow still speak clearly, almost a decade later, to widespread concerns with financing and, more specifically, resource reallocation to alleviate financial stress.

29:1.1/68-1
The Economics of the Major Private Universities, William G. Bowen, 66 pp. (Carnegie Commission on Higher Education, Berkeley, Calif.).

This landmark volume is one of several papers Bowen has authored on the subject. He cogently and succinctly explains the nature of the economic pressures on the major private universities (although his analysis applies to almost all institutions to one degree or another). At the time Bowen wrote, enrollments were still rising, inflation was still manageable, and external sources of support were still growing—yet Bowen paints a dismal and gloomy picture. Imagine a similar analysis and projection applied now!

Bowen's paper is virtually required reading for anyone thinking about the future financing of private universities, and it is so for two reasons. One is that he presents his case authoritatively. Every point is backed up by hard data comparing his typical university, which is a composite of Chicago, Princeton, and Vanderbilt, to national economic data. The second reason is that he analyzes the situation clearly. He presents a short but definitive section on the reasons why

costs per student must rise faster than costs in general because of the labor-intensive, relatively fixed-productivity nature of the industry.

Projections of funds from various sources of income are made for comparison to the expenditure projections. Deficits result inevitably unless some major changes in public policy occur or regrettable retrenchment efforts are made.

29:1.1/68-2

Decision Making and Administration in Higher Education, John D. Millett, 161 pp. (Kent State University Press, Kent, Ohio).

This fascinating volume contains five essays originally given at different conferences by John D. Millett. Thus, they deal with different, if occasionally overlapping, aspects of administration and can be read separately. The first, dealing with the decisionmaking process, argues for shared authority between faculty and administration and discusses the complicating factors introduced by collective bargaining and student concerns. The second, dealing with the planning process in higher education, begins by distinguishing between policy and program planning. Four substantive issues are considered: objectives, enrollment, programs, and resources.

The third essay sets forth a proposed systems analysis of a typical university, using a detailed chart to indicate the inputs, the process, and the outputs. The author relates the possible utility of such an analysis to insights about organizational structure and to the urgent need for PPBS budgeting in universities.

The fourth essay, and the central one for this section, is simply titled "Financing Higher Education." The author proposes "to set forth here my concept of what is needed today as a framework for analysis and discussion of higher education financing." Five elements of this analysis are considered separately: (1) activities (instruction, research, public service, auxiliary services, and student aid); (2) sources of income; (3) application of funds to the five activities; (4) types of instructional programs; and (5) sponsorship of institutions. Several observations are drawn from the analysis, the chief being that "the critical problem of higher educational finance is finding the needed support for instructional activity."

The final essay is entitled "The Structure of Communications in a University." There is a considerable discussion of the basic organizational structure of a university and its structures of coordination and management, because the author believes that "structure invariably complicates or conditions communication." Communication is defined as "the realization of a shared understanding of a shared purpose within a university." The point is made that few constituents

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in the university community understand the financing of the enterprise.

Millett's clear, personal style makes this book deceptively easy to read and understand. It should not be dismissed as simplistic; his comments and insights are as relevant today as they were 12 years ago.

See also: **Topic 3, Economics.**

1.2 Financing Sources

29:1.2/74

Tuition, Carnegie Commission Staff, 85 pp. (Carnegie Commission on Higher Education, Berkeley, Calif.).

This report is subtitled "A Supplemental Statement to the Report of the Carnegie Commission on Higher Education on Who Pays? Who Benefits? Who Should Pay?" (cited in Vol. I, 5:1.0/73-2 and 17:1.0/78-2). It is intended to be just that; its purpose is to restate and clarify the Commission's recommendation that tuition in public 4-year institutions might well rise over 10 years to about one-third of educational costs. Additional and more recent data by institutional type and by state are given to show the impact of the Commission recommendation, which also is compared and contrasted with tuition recommendations of other groups such as the Committee for Economic Development.

The best chapter tackles one by one several controversial questions surrounding tuition policy and gives succinct, often hard factual responses. For example, "Is the middle-class student being forced out by higher tuition?" The answer, with supporting data, is that there is no evidence of this result. A lengthy series of statistical tables follows to provide a national, a state-by-state, and in many cases, an institutional picture of tuition revenues as they relate to other data.

This report backs up, reiterates, and lends additional weight to the earlier Commission report concerning financing of higher education as a matter of public policy.

See also: **5:6.0/73 Sources of Funds to Colleges and Universities,** June A. O'Neill and Daniel Sullivan.

This brief technical report consists primarily of general statistical tables that summarize current fund income to various classes of institutions from all sources, including tuition, government (local, state, and national), endowment earnings, gifts and grants, sponsored research, sales and services, and other income over the period 1929-1968.

More specific tables and the text analyze tuition income and student aid expenditures as they have changed over the years per full-time equivalent student with respect to the consumer price index, median family income, and the cost of instruction. The difference between tuition income and undergraduate costs is also examined. The growth rates of the various sources of funds as well as of instructional costs and enrollments are presented, with special attention given to the importance of Federal research dollars.

Because of its scope, this volume serves as useful background for an institution's thinking about its own patterns and trends of financial support.

29:1.2/73
Meeting the Financial Crisis, John Lombardi, ed., 136 pp. (Jossey-Bass, San Francisco).

As the second volume in the New *Directions for Community Colleges* series, *Meeting the Financial Crisis* consists of 10 contributed papers and a bibliography, all on the broad subject of financing community colleges. As is typical of the books in this series, several papers present broad overviews and several deal with specific aspects. Key chapters examine the gradual shift in the distribution of financing for 2-year colleges from local to state, accompanied by rises in tuition and increased hopes (but little fulfillment) of Federal aid. A case is made for zero tuition as a matter of public policy.

As always, there are only two basic ways of balancing a budget: (1) increase income and/or (2) reduce expenditures. Thus, several approaches to increased income are examined, including appealing to private sources and securing increased financial aid funding. On the other hand, ways of reducing expenditures are presented in such specific areas as: (1) use of autotutorial laboratories and/or large-group instruction to reduce instructional costs; (2) efficient management and planning, using the Junior College District of St. Louis as an example; and (3) a noncampus approach without buildings or full-time faculty, using the Community College of Vermont as an example. The rarely discussed problems of financing private 2-year colleges are also considered.

Some unusual perspectives are to be found in this volume, making it worthwhile reading for the 2-year college administrator.

29:1.2/71

Financing Higher Education, Carol H. Shulman, 25 pp. (ERIC Clearinghouse on Higher Education, Washington, D.C.).

This report provides a very useful annotated bibliography of 80 items that deal with plans for financing higher education at the Federal, state, or institutional level. A brief review of several of the major national proposals current in 1971 precedes the annotations. The review is quite helpful in summarizing commonalities present in several of the citations and emphasizing pros and cons. These general proposals include formula grants, student loans, institutional grants, state aid, bank-loan plans, scholarships, and tax credits.

29:1.2/68

Higher Education: Who Pays? Who Gains?, M. M. Chambers, 302 pp. (Interstate Printers and Publishers, Danville, Ill.).

This book is a comprehensive, if occasionally simplistic, look at the financing of higher education. The author is admittedly biased and opinionated; many of the views are highly personal and strongly oriented toward the public sector. On the other hand, the book covers every aspect of institutional financing, with many examples drawn from specific institutional experiences. As a result, it is an excellent primer for the administrator seeking general knowledge on this topic. Individual chapters deal with such specific financing sources as endowment, tuition, private donors, and local, state, and Federal governments. Each main topic is further discussed in chapters dealing with, for example, in the instance of private support, alumni, foundations, religious organizations, business and industry, community sources, and internal sources (trustees, faculty, students, parents, and friends).

Virtually no aspect of institutional financing is left out, from either a historical or a contemporary perspective. A series of apothegms and conclusions closes the book, the chief among these being a recommendation that "for public universities and colleges, there is no substitute for free tuition."

See also: 28:1.1/71, **Seeking the Competitive Dollar,** John W. Leslie.

Subtitled "College Management in the Seventies," this work attempts to relate overall institutional management to "institutional advancement programs (IAP)", that is, "those programs responsible for attracting financial support and for communicating institutional goals and programs to the public." The first chapter summarizes the need for better *management* of financial programs and activities in terms of past and current problems and future imperatives. Public affairs is a

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field of emerging importance in managing the financing of institutions. Public as well as private institutions need ways to influence effectively state legislatures and even the Federal Government. A Federal relations program is recommended for each institution.

The costs of developing IAP's are considered in detail, with several tables comparing, for example, gift income to IAP expenditures and IAP expenditures as a percent of E&G expenditures by type of institution. One distressing concern is that the cost of raising gift dollars is increasing while IAP expenditures as a percent of E&G are decreasing. Most of the rest of this volume is devoted to general and detailed data and recommendations on organizing, staffing, and compensating an IAP staff and using PPBS to develop a sound IAP in areas varying from governmental relations to deferred giving to external communication.

This volume is rather specialized but provides good practical advice for those engaged in the aspects of institutional financing that Leslie addresses. Increases in public and private giving are important alternatives to tuition increases as inevitable expenditure increases necessitate income increases.

See also: 20:3.1/75 **Funds for the Future,** Twentieth Century Fund Task Force.

Primarily oriented toward private institutions, this task force report on endowment policies is intended to be helpful not just with the management of endowments, but also with programs to build endowment and to integrate endowment and spending policies. The report's recommendations are addressed primarily to trustees but are quite specific with respect to such matters as equities versus bonds, 5 percent as a limit on spending as a proportion of the endowment's total market value, and the need for proper selection of an investment manager.

By far the largest part of the book is given over to a lengthy background paper by J. Peter Williamson of Dartmouth. This paper is extremely valuable reading for anyone seeking to learn how higher education endowments are made to work in terms of objectives, management, performance, investment, and reporting. Appendixes explain further details of such matters as deferred giving, security lending, real estate equities, and custodianship.

For any private institution, endowment income is or should be a significant source of income. Many college administrators who have direct or indirect involvement with financing in their institution but are not familiar with the arcane details and language associated with endowment investing and managing will find this book extremely instructive as well as clearly and readably written.

1.3 Program Costs

29:1.3/78

The Costs and Benefits of Graduate Education: Estimation of Graduate Degree Program Costs, Joseph L. McCarthy and William D. Garrison, 85 pp. (Council of Graduate Schools, Washington, D.C.).

This monograph provides a detailed rationale for the calculation of the costs of graduate education per student per year per department or field. Degree costs are also considered. Interdepartmental and/or interdisciplinary program costs are given special attention to test the methodology against areas in which no departmental budgets exist to be allocated. Distinctions are also made between master's or doctor's degree costs.

Explanations are given for the apportionment of institutional support costs in such areas as library, student services, plant operation and maintenance, and administration. Graduate student appointment costs and research program costs are also considered, although sponsored research costs are not counted as part of the degree program costs.

Seven programs (biochemistry, cell biology, chemistry, economics, English, mathematics, and psychology) were chosen to be studied at 14 institutions, and average, upper, and lower quartile costs per student and per degree are estimated for each program. The author reviews alternative methods for arriving at these estimates and hopes they are broadly applicable when based on definitions and data generally available to individual institutions. The monograph is useful to those considering the internal finances of institutions at the graduate level, as opposed to Meeth's book (27:2.4/74), which is undergrad0ate in approach.

2.0 BUDGETING
2.1 The Budget

29:2.1/73

Understanding the College Budget, Gerald P. Robins, 81 pp. (Institute of Higher Education, Athens, Ga.).

This very useful volume presents an overview of the budgeting process, with a more detailed look at the educational and general budget. It is written to provide insight for administrators other than financial officers and therefore defines terms, formats, and processes. It also relates budgets and budgeting to long-range planning in some detail.

Various kinds of budgets are discussed, and a sample budget review process is set forth. A final chapter discusses the impact of management information systems, PPBS, and cost-simulation models (particularly RRPM) on the budgeting process.

A glossary and bibliography are also included.

2.2   Budgeting Processes and Systems

29:2.2/80

Integrating Academic Planning and Budgeting in a Rapidly Changing Environment, Sidney S. Micek, ed., 138 pp. (National Center for Higher Education Management Systems, Boulder, Colo.)

Subtitled *Process and Technical Issues,* this volume is a compilation of contributed papers and summaries of discussions from a 1979 NCHEMS-sponsored forum on integrating academic planning and budgeting. Several of the papers have previously appeared elsewhere.

The book is divided into three sections, each dealing with a different aspect of the relationship between academic planning and budgeting: (1) planning and budgeting linkages; (2) program review; and (3) communication and participation issues. Each section begins with a summary of issues raised by forum participants, followed by two or three papers expanding on those issues. Many of the comments detail personal experience and are valuable indications of what has or has not worked in a given institutional setting. The chief point made throughout is that, historically, academic planning and budgeting have not been integrated. The importance of program review and evaluation is stressed forcefully: budget decisions and reallocation priorities must follow closely upon rational determination of program priorities; incremental budgeting can never permit significant readjustment of institutional priorities.

The entire section on program review is useful, with two fine articles by Robert Arns and William Poland and by Robert Shirley and J. Frederick Volkwein. In the final section, an interesting paper by Kevin Diran traces the reasons for failure of MIS in an actual college situation (disguised here as Metro College) and finds that the causes were human rather than technical.

Equally valuable are the 29 questions raised in interviews with forum participants and listed in the introduction. In fact, the chief value of this book lies in the issues it raises and discusses rather than in attempts to give pat answers. Several of the papers in the book are essential reading for the administrator concerned with the integration of academic planning and budgeting.

29:2.2/79-1

Budgeting in Higher Education, J. Kent Caruthers and Melvin Orwig, 99 pp. (American Association for Higher Education, Washington, D.C.).

This volume is prepared by the ERIC Clearinghouse on Higher Education and written by two NCHEMS staff members. It does not deal with the budget, but with budgeting as a process that needs to be widely understood since it is no longer easy to achieve a balanced budget. Therefore, the process is viewed suspiciously by many within an institution. Not surprisingly, then, the authors emphasize the political and human as well as the technical sides of the budgeting process. Participants in the process are considered, from students at one end to legislative review at the other. (In general, the volume is oriented toward public rather than private institutions.)

The evolution of modern budgeting is traced, and five currently used specific approaches are reviewed: incremental, formula, PPBS, ZBB, and performance. The authors do not try to describe how to develop a detailed budget, but do describe the issues surrounding budgeting and the resource-request-allocation cycle. The current state of the art is set forth along with areas of needed research and understanding. An extensive bibliography is included.

29:2.2/79-2

Budgetary Control Procedures for Institutions, Ray M. Powell, 333 pp. (University of Notre Dame Press, Notre Dame, Ind.).

This volume is the third in a series of Notre Dame studies on the management of not-for-profit institutions. The first two dealt with accounting and management procedures. This third volume places the emphasis clearly on *control* as well as *procedures*. The author sets forth an extremely detailed description of the various aspects of a budget: revenues, operating expenses, capital expenses, and cash flow. The processes involved in building a budget are described, assuming program budgeting as the budgetary technique to be used.

Each chapter ends with illustrative examples of typical forms to be used, an extensive series of questions and problems to be worked by the reader, and, usually, a detailed case study to be worked through. Several chapters also include useful appendixes containing data, forms, or information from actual situations. Since the text is directed toward all not-for-profit institutions, many of the examples come from areas other than higher education, primarily hospitals, but the text itself is always couched in general terminology applicable to a college or university. The chapter on capital expenses ("Budgetary Institutional Land, Buildings, and Equipment Acquisition") is particularly good.

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As a textbook on budgetary procedures, this volume is first-rate, but it goes well beyond that. As mentioned above, there is always an emphasis on control and evaluation, with chapter subheadings such as "Putting the Budget to Work," "Role of the Budget Director," "Reporting Against the Expense Budget," and "Evaluation Analysis," plus an entire chapter on "Budgetary Control."

It is difficult to overemphasize the detail and thoroughness of the textbook. It would be invaluable for a financial officer new to higher education or central budgetary responsibility. Its style is clear and concise, but the material is too specific and narrow in scope to be of great benefit to the general reader or even the administrator peripheral to the business functions of the institution.

29:2.2/73-1

Strategies for Budgeting, George Kaludis, ed., 106 pp. (Jossey-Bass, San Francisco).

The second in the *New Directions for Higher Education* series, this volume deals with budgeting strategies rather than budgets or budget preparation. Several authors have contributed papers based on first-hand experience. This specificity makes for pragmatism and good reading. It also permits coverage of a wide range of issues, generally built around the theme that financial problems will not be banished by tinkering with the appearance of the budget. In the author's view, a major overhaul of the total financial decisionmaking process in institutions is required.

The first such system described is that at Case-Western Reserve University, where a decentralized management system links a fiscal plan (short range), a financial plan (long range), and an academic plan. The decentralized nature of the system leads both to its strengths and its weaknesses. Second, the use of program budgeting at Wheaton College is described, with emphasis on the strategies used, the assigning of responsibilities, and the steps in the process. A third paper discusses the problems that arise from formula budgeting in times of declining enrollment, based on experience within the State University System of Florida. The author shows that a downward sloping cost curve resulting from economies of scale and a linear funding formula means financial trouble if enrollment shrinks. Other problems with formula funding, such as program cost differentiation, are discussed.

The last experiential paper deals with enrollment forecasting by specific program at Brown University, followed by an attempt to determine optimum teaching load distribution. The Admissions Office can then monitor student applicants' interests to try to increase faculty efficiency. Finally, a long chapter by William W. Jellema sum-

marizes much of the material included in his *From Red to Black* (29:1.1/73-1).

29:2.2/73-2
Program Budgeting: Universities, Ohio Board of Regents, 92 pp. (Ohio Board of Regents, Columbus, Ohio).

 This book is actually a manual of instructions for developing and implementing a program budgeting system in an institution. It is particularly valuable for the uninitiated because of its clear and concise but detailed approach and the comparisons and distinctions it frequently makes between program budgeting and organizational line budgeting. Examples are given and charts are used effectively.

 Criteria are given for the evaluation and improvement of existing budgeting systems. Guidelines are set forth for estimating and allocating institutional resources relative to a given set of programs. A glossary of budgeting terms is included as well as a bibliography of program budgeting literature.

 Topics dealt with include identification of sources of funds, goals and objectives, program structure, inputs and outputs, program costs, resource requirements, and data base requirements. Different forms of budgeting, such as incremental, open-ended, zero-base, quota, alternative-level, and expenditure classification, are also discussed. The well-organized and logical development of topics makes for easy consultation as a reference.

29:2.2/72-1
Managing the University: A Systems Approach, Paul W. Hamelman, ed., 139 pp. (Praeger, New York).

 Paul Hamelman has collected and edited a group of papers from a conference held in 1970 on his home campus, Virginia Polytechnic Institute and State University. The theme of that conference was Systems Analysis for Higher Educational Planning. A number of active practitioners, such as Ben Lawrence and William Moran, presented papers at the meeting.

 Several of the papers deal with a systems view of organizational issues in the university, particularly with respect to planning. The central chapters describe various budgeting and planning systems with detailed discussions of their implementation, their successes, and their limitations, by WICHE, the Minnesota system of higher education, and community colleges in general. The PRIME experience in Minnesota is also an instructive case study.

 The principal contribution of this book lies in its stress upon the relationships among organization, budgeting, cost and resource analysis, and planning.

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29:2.2/72-2
Zero-Base Budgeting in Colleges and Universities, L. James Harvey, 51 pp. (Ireland Educational Corp., Littleton, Colo.).

This brief manual is intended as a concise guide to understanding and implementing zero-base budgeting in higher education. The last decade has seen PPBS, MBO, and MIS come and partially go as budgeting systems. President Carter has now made ZBB somewhat popular, and Harvey's guide explains in detail, with definitions, charts, and sample forms, how ZBB works and how it relates to, rather than replaces, other management techniques.

ZBB is a budget-planning process that attempts to force the institution to select the best budgetary alternative available, consistent with goals and objectives, by focusing on a complete justification of all expenditures at budget-planning time. Thus, a zero base is used as the initial assumption rather than the current year's base. This approach can lead to eliminating fat from the budget by building a necessary minimum rather than constantly expanding an existing base. Harvey examines the advantages and disadvantages of ZBB and then discusses in detail how to implement it. A key concept is the development of decision units and packages. A decision unit can vary in size from a course to an entire cost center. A decision package may represent alternative funding levels: minimal, maintenance and desired.

Harvey also discusses why ZBB often fails, how to apply it to personnel reductions, and various options for the frequency of use of ZBB. Although ZBB will probably not become *the* system for budgeting any more than PPBS has, it will have its impact on the budgeting process, and this monograph is a handy introduction to it.

29:2.2/71
Budgeting in Higher Education, John L. Green, Jr., 240 pp. (University of Georgia, Athens).

Budgeting in higher education is a complex process involving planning, development, information, analysis, and feedback. The process is, in fact, different from budgeting processes in industry or government, but little work has been done dealing specifically with higher-education budgeting. John Green sets for himself the task of describing institutional budgeting in higher education and has succeeded in setting forth the process from various illuminating points of view. First, he analyzes different approaches to budgeting—performance, program, decisionmaking, zero-base, and formula. Second, he describes various functional parts of a budget planning process—academic, physical, and financial. Third, he considers the budget as

divided into three categories: a planning budget, an operating budget, and a capital budget.

A series of chapters is devoted to describing the internal organization for dealing with budgetary matters, including control, reporting, and auditing. Finally, the author discusses the determination of unit costs in great detail with many charts, tables, and definitions.

This clearly written book is of value to financial officers as well as to other administrators interested in budgets and budgeting.

29:2.2/70

An Introduction to Program Planning, Budgeting and Evaluation for Colleges and Universities, Robert J. Parden, ed., 204 pp. (University of Santa Clara, Santa Clara, Calif.).

Although called the proceedings of a conference, this monograph consists in large part of a lengthy but useful discussion of program budgeting by the editor. This section is in depth and covers all aspects of the budgeting process, including a detailed description of the annual budgeting cycle and the rationale for establishing an office of institutional planning or research. The Nedrap computer model (try the editor's name backward) is used to show various planning strategies.

Although some of this material is dated, the thoroughness of treatment makes the work useful. More importantly, a shorter paper by Douglas MacLean describing long-range planning at the University of Houston is quite valuable because of the author's frankness concerning both the strengths and weaknesses, the successes and the failures, of the process at *his* institution.

A similar case study at California State College at Long Beach by Robert B. Henderson also reviews the difficulties of program budgeting. The latter two studies pose an interesting counterpoint to Parden's paper and create a useful balance in the monograph.

2.3 Resource Allocation and Reallocation

29:2.3/79-1

New Approaches to Management, J. Victor Baldridge and Michael L. Tierney, 220 pp. (Jossey-Bass, San Francisco).

The subtitle of this book is "Creating Practical Systems of Management Information and Management by Objectives." It is a review of the successes and failures of a number of specific attempts to implement MIS or MBO during the seventies. Forty-nine institutions that had received Exxon Foundation grants under its Resource Allocation Management Program were studied. Forty-four of them were

private liberal arts colleges with enrollments under 5,000. The authors compare and contrast the institutions' experiences in order to evaluate, over time, the effects, if any, of the introduction of MIS and MBO.

Specific considerations relevant here include the successful use of MIS to reduce per-student expenditures and maximize department resource use, to increase income, and to cut other expenses. Improved management information can positively affect the budgeting process and the allocation of resources. Problems will arise if an MIS is not appropriate to the institution's needs and does not produce data that are "timely, condensed, focused on real problems, and addressed to questions that people need answered." Two successful case studies at Wesleyan University and Clarkson College of Technology are examined in detail.

Case studies of institutions applying MBO are then analyzed. Institutions studied were Furman, Arkansas College, and Earlham College. In each case, the successful features and the shortcomings of the project are frankly dissected.

The financial, managerial, and institutional impact of MIS and MBO are then discussed, with emphasis on successful strategies for implementing administrative change. A final chapter discusses some specific institutional approaches to increasing income or reducing costs. The authors conclude that MIS and MBO can be very successful, particularly if closely linked, in impacting the planning, budgeting, and administrative processes of an institution. Enumerated pitfalls exist but can be overcome, and the prize is worth the risk in these days of the "new depression" in higher education.

29:2.3/79-2

The Three "R's" of the Eighties: Reduction, Reallocation and Retrenchment, Kenneth P. Mortimer and Michael L. Tierney, 84 pp. (American Association for Higher Education, Washington, D.C.).

The authors, from the Center for the Study of Higher Education at The Pennsylvania State University, have prepared the fourth research report in the ERIC Clearinghouse on Higher Education—AAHE series. This little volume is up-to-date, specific, and compelling. A dismal picture of the environment of the 1980's is presented, based on demographic pressures combined with expenditure pressures that will grow faster than institutional revenues. Detailed analyses are given of current and projected revenue sources as well as of expenditure rates. The particular problem of increased institutional Social Security contributions is explained.

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The longest section of the report deals with the three R's of the title. Examined first are ways to reduce expenditure growth rates and the budget base, for example, by changes in faculty composition or in student-faculty ratios. Strategies for internal reallocations are next examined, with emphasis on program review as a means of assessing institutional vitality as well as examining costs. Lastly, the hard choices of faculty reductions and dismissals, program discontinuance, and legal implementation of the dread term "financial exigency" are considered. The experiences of three institutions—the University of Michigan, the University of Pennsylvania, and the Pennsylvania State College System—are used as examples of the three R's.

Although the authors' premises are gloomy, their conclusions are not without hope. A strong concern for maintaining flexibility runs throughout the book. Flexibility is seen as important for dealing with financial stress but easily lost as budget cuts are made. Michigan's efforts to conserve flexibility by reducing all budgets by 1 percent each year to establish a priority fund for reallocation are examined closely.

29:2.3/78

Coping With Reduced Resources, Richard L. Alfred, ed., 102 pp. (Jossey-Bass, San Francisco).

One of the quarterly volumes in the New Directions for Community Colleges series, Coping With Reduced Resources consists of 10 contributed papers and a useful bibliography, all dealing with the topic of meeting the challenges of reduction in resources. In the first three papers, various sources of financial support for community colleges and the shifting emphases among those sources are examined, with particular attention to the increased role of state and Federal funding.

The next three papers consider specific problems of budget reduction: one an overall cut of 18 percent that actually took place at New York Community College, one in the area of curriculum and instruction, and one in the area of student personnel services.

The remaining four papers deal with the positive effects of careful planning and institutional research so that administrators can actively pursue new enrollments, new funding, and new programs without having to react frantically to budget crises. Leadership and effective management are required. Costs of programs must be known in detail, and outcomes and benefits need to be measured clearly.

As is characteristic of the books in the various Jossey-Bass New Directions series, the central theme, reduced resources in this instance, is examined from several points of view, some theoretical, some ex-

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periential. This breadth of approach makes these volumes generally useful, and this one more than some because of its positive approach to dealing with the subject creatively rather than in panic and gloom.

29:2.3/77
Facing Financial Exigency, Frank R. Kemerer and Ronald P. Satryb, eds., 137 pp. (Lexington Books, Lexington, Mass.).

Another volume consisting of a series of contributed papers, *Facing Financial Exigency* is subtitled "Strategies for Educational Administrators." The editors have used each paper to illuminate a different aspect of institutional adaptation to financial exigency. That is, the book is not another pessimistic analysis of the future, but a presentation of strategies for maximizing opportunities presented by financial pressures of the 1980's and 1990's.

A first chapter provides an economic and legal framework for understanding financial exigency. Management structure and efficiency and management and planning systems for coping with exigency are then examined. Specific issues raised by exigency are analyzed in chapters dealing with: (1) collective bargaining and union demands, particularly for power over personnel and programmatic decisions; (2) retrenchment, using a hypothetical case as an example to indicate a detailed plan for implementing cutbacks; and (3) innovation and how it could be stifled by exigency but must be fostered to encourage changes that promote both academic quality and efficiency. Three final chapters discuss the role of off-campus groups that could sizably affect an institution's financial situation, and how their roles can be optimized by: (1) consortial arrangements; (2) statewide coordinating groups; and (3) the legislative arena, particularly at the state level.

The editors and contributors generally stay within the bounds of their theme. Financial concerns are central to each chapter. As specified by George W. Angell in the chapter on politics, six administrative efforts are necessary for dealing with financial exigency: cost accounting, cost budgeting, cost allocation, cost-benefit analysis, cost-investment, and cost planning.

29:2.3/76
Allocating Resources Among Departments, Paul Dressel and Lou Anna Kinsey Simon, 118 pp. (Jossey-Bass, San Francisco).

This study assumes the primacy of the academic department in higher education institutions and thus asserts the need for its primacy in the budgetary process. For historical, organizational, and individual reasons, inequities abound in current department budgeting.

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Dressel, who has written two other books on the role of the depart-
ment in the university, and Simon, one of his senior graduate
students, attempt in this volume to describe departmental budgeting
and to explore alternatives for improving the process so that in-
telligent allocation and reallocation decisions can be made at the in-
stitutional level.

Thus, departmental budget models are developed to take into ac-
count such matters as teaching loads, section size, number of courses,
faculty distribution, and cross-departmental enrollments. Realloca-
tion decisions following from such models will be long term in effect,
but will permit change rather than annual allocations that generally
perpetuate inequities. Various parameters constituting a resource-
allocation framework for departments are considered. The deficien-
cies of cost-benefit and cost-effective analysis are discussed, and a new
approach, based on clustering like departments, is presented. An
analysis of the instructional service component of departments is in-
cluded, with reference to both graduate and undergraduate com-
ponents.

The analysis leads to the possibility of shared or multicollege
departments, which are discussed in terms of characterizing principles
and budgeting procedures. Procedures for annual review and evalua-
tion are presented. Some useful statistics and forms as used by
Michigan State are included as examples.

As one considers the elements involved in the budgeting or
resource allocation process, the importance of the individual depart-
ment and, hence, this book is obvious.

29:2.3/75

**More for Less: Academic Planning with Faculty without New
Dollars**, James N. Nesmith, ed., 77 pp. (Society for College and
University Planning, New York).

This monograph consists of papers presented at a special con-
ference sponsored by the Society for College and University Planning
(SCUP) and Academic Development and Planning in Transition
(ADAPT) and held in St. Louis in May 1973. The papers cover a wide
range of topics and are chiefly of interest here because several of them
deal with questions of resource reallocation within a context of faculty
as the principal and most valuable resource. In fact, one of the pur-
poses of the conference was to explore procedures by which intangi-
ble, nonquantifiable factors in the educational process can be taken
into account when effectiveness is measured and money is provided.

The contributors were generally highly regarded experts. Their
topics, reflecting the conference's concern, were: "Human Resource

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Development in a World of Decremental Budgets" (Stephen K. Bailey, ACE); "Planning for Quality" (Earl P. Cheit, Carnegie Council); "Fiscal Structures and Institutional Decisionmaking" (P. Lawrence Hester, Vanderbilt University); "Faculty Development in a Time of Retrenchment" (David Epperson, Northwestern University); and others.

29:2.3/73

Resource Reallocation in Research Universities, John D. Millett, 35 pp. (Academy for Educational Development, Washington, D.C.).

In this slim volume, John Millett uses his many years of experience to distill insightfully the common and/or significant experiences of five unnamed major universities in implementing ırce-allocation procedures. Four of the institutions were private, public. The private ones all had current operating budget deficits in 1971; the public one had no increase in state appropriations for instructional expenditures. All five had to develop some means of eliminating the deficits other than by across-the-board reductions and of preventing the deficits' immediate recurrence.

The various ways in which the five institutions responded to this challenge are examined closely, beginning with the machinery they set up to deal with the problem. Four of the five institutions found that they had inadequate information and data. *Academic* planning seems to Millett to have been largely absent in all these efforts, at least at the institutional rather than departmental level, although planning in general, particularly computer-aided or PPBS-based projecting, was central to all efforts. The program-budgeting efforts are presented in some detail, with comments on pros and cons.

Another important aspect of the process at all five institutions was the way in which various elements of the campus participated in decisionmaking. There was much variance here, with the major common factor being the huge amount of time and energy involved. The institutions also varied in their public relations approach to financial difficulties.

In general, each university looked primarily at instructional and student aid budgets as subject to reallocation, although both research and auxiliary service budgets may have been out of balance. Although four of five universities had medical education programs, only one of them included this area in the reallocation process.

A specific reallocation example is presented, based on the "every tub on its bottom" principle, in which each major instructional unit had to project its own income and expenditure pattern to meet a given

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target. Student aid problems are discussed, with the weight of the discussion falling on graduate student aid and the costs of graduate education in research universities. The two most difficult topics considered were faculty-position budgeting and faculty workload, particularly because of the trouble in differentiating efforts and costs applicable to graduate and undergraduate instruction. The future of Federal support for basic research was also a major concern.

A concise concluding section deals with other economies effected, attempts to raise income, and some general summaries.

29:2.3/72

Budgeting and Resource Allocation at Princeton University, Paul Benacerraf, William G. Bowen, Thomas A. Davis, William W. Lewis, Linda K. Morse, and Carl W. Schafer, 506 pp. (Princeton University, Princeton, N.J.).

This massive document is the report of a demonstration project sponsored by the Ford Foundation for the study of resource allocation in universities. Although it is specifically oriented toward Princeton's experience, it is so overwhelmingly detailed in both data and comments that the reader can easily infer more general applicability for almost any large private institution. The report begins with a summary of budgeting in the 1960's at Princeton, including the shortcomings that needed to be addressed. A major effort was begun to revamp the budget schedule, to establish review and decision procedures, to develop a system for collecting budget data, and to provide a means for analyzing faculty staffing by departments. The most important step was the establishment of a Priorities Committee to advise the President on resource allocation. Two lengthy reports of that committee for 1971-72 and 1972-73 are given in entirety, since the committee has been enormously influential.

The current budgeting process is reviewed in detail with time schedules, actual forms, memorandums, instructions, numbers generated, and breakdowns in specific areas such as faculty staffing, student aid, auxiliary services, and physical plant. At every step, relevant comments are included explaining why a given approach succeeded or failed. Particular attention is paid to the complexities and ramifications of phasing out a graduate program (in Slavic language and literature) and reducing expenditures in athletics.

The final lengthy section of the report examines PPBS in detail in a university setting, its applications at Princeton, and an analysis of the extent to which PPBS is applicable or not applicable at a university such as Princeton. The PPBS approach was not used formally by the

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Priorities Committee but was introduced in terms of an analysis of historical data. It is projected that its use will increase because of several specified positive benefits, but with certain cautions.

2.4 Efficiency and Effectiveness

29:2.4/80
Surviving the Eighties, Lewis B. Mayhew, 350 pp. (Jossey-Bass, San Francisco).

The volume is subtitled "Strategies and Procedures for Solving Fiscal and Enrollment Problems," and the book is precisely that. Based on his decades of experience and reflection, Mayhew makes a number of suggestions for either increasing income or reducing expenditures in an institution of higher education, most of them based .on the direct experiences of specifically referenced institutions. Mayhew's central argument is that "institutional vitality, viability, and even survival depend on the timely interaction of established and tested procedures and processes, wise human skills and abilities, and fortunate vagaries of history." The first step is to establish an appropriate administrative structure that is effective and fiscally responsible while also being consultative. A second essential step is the assumption of administrative leadership, accompanied by adequate planning based on accurate and monitored information. That planning, in turn, depends on a clear statement of mission and an accompanying image.

The question of maintaining enrollments through new sources of students is considered in detail. Retention of students can be improved by tailoring the curriculum and program innovation to the needs of the specific institution. Counseling, advising, and extracurricular activities are also seen as important factors. A related set of issues revolves around faculty improvement and development. Two long chapters detail ways of increasing faculty resources and cutting faculty costs. Again, effective administration is seen as central, along with slow change based on traditions and strengths. A checklist of 319 one-line suggestions, some of them heretical, is appended, along with an extensive bibliography. The two chapters on faculty and program costs are particularly relevant, dealing as they do with specific retrenchment and reallocation strategies for survival, but the entire book is worth reading because of the author's broad background and experience.

See also: 13:2.2/72, **The More Effective Use of Resources: An Imperative for Higher Education,** Carnegie Commission on Higher Education.

13:2.2/71 ⊾   .⊔ucation, Howard R. Bowen and Gordon K. L ⊔ .

29:2.4/74
Quality Education for Less Money, L. Richard Meeth, 206 pp. (Jossey-Bass, San Francisco).

This book is subtitled "A Sourcebook for Improving Cost Effectiveness" and strives valiantly, often with considerable success, to distinguish between cost analysis and cost-effectiveness in liberal arts colleges. The major weakness of the book is that the distinction is not always made; at times, the author's message seems to be that accurately determining curriculum costs will, by itself, lead to effectiveness or efficiency, terms also not always clearly differentiated.

On the other hand, the book serves as a useful sourcebook for those interested in institutional cost analyses as they relate to budgetary planning, particularly in small liberal arts colleges. Sixty-six such colleges participated in a 1972 study on cost-effectiveness as reported in Meeth's book. The institutions are described along with the methodology of the study. Curriculum, development offices, and admissions office costs are examined in detail. Sources of income and expenditure distributions for the participating colleges are examined. An interesting detailed substudy examines the concepts of efficiency and effectiveness for three pairs of colleges in the study. The results show no correlation between high or low costs of instruction and effectiveness of instruction.

Many tables and sample forms are included to permit easy adaptation of this study's methodology to another undergraduate liberal arts college. (The methodology would not be applicable in a university setting.) On . ⊔ter discusses the strategies and procedures for implementing the cost-analysis program on a campus and for integrating the program with a long-range plan. The study resulted in specific and financially rewarding changes at many of the colleges, so that the approach is attractive. A final chapter contains some incisive conclusions about the current state of liberal arts education and makes 12 specific recommendations based on 4 assumptions about the need for "trained managers" in private higher education.

29:2.4/72

Papers on Efficiency in the Management of Higher Education,
Alexander M. Wood, Colin Bell, Lawrence Board, Helen
Brownlee, and Joseph McCloskey, 87 pp. (Carnegie Commis-
sion on Higher Education, Berkeley, Calif.).

This volume is another in the series of technical reports spon-
sored by the Carnegie Commission. The papers were actually prepared
as part of a study done at the University of California at Irvine, but
are issued separately as examples of attempts made by institutions to
improve the efficient and effective use of financial resources. Four
papers are included. The first examines nationally what institutions
are doing about such matters as institutional management and effi-
ciency and institutional research. The answer in 1972 was "not
much," although the trend was positive.

The second paper examines the use of mathematical models as
aids to improve efficiency. Because of their size and cost, large-scale,
detailed models are deemed of limited use. Smaller, more aggregated,
or less detailed models seem more useful and credible. A wide variety
of existing modeling efforts is examined.

The third paper is a specific analysis of actual instructional
resource allocation at UCLA in 1969. Enrollment data and faculty-
activity analyses are combined with budget data to yield costs by ac-
tivities such as instruction, research, and public service.

The final paper discusses innovation in private institutions in
California from the viewpoint of effects on efficiency of resource use.
Admissions, curriculum, physical plant, finances, and administration
are considered. Problems encountered by institutions are enumerated
rather than individual successes.

29:2.4/71

Institutional Priorities and Management Objectives, William
W. Jellema, ed., 150 pp. (Association of American Colleges,
Washington, D.C.).

This volume contains papers given on the topic of fiscal manage-
ment at the 1971 annual meeting of the Association of American Col-
leges and then published as a special edition of *Liberal Education.*
Seventeen brief papers relate various functional areas of the college to
the question of efficient fiscal management. These areas include
finances, admissions, student services, and instruction. Specific prob-
lems examined include high costs of instruction, collective bargaining,
campus disruption, and overall financial distress. Specific tools and
methods suggested for achieving greater fiscal efficiency include

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PPBS, institutional research, income improvement, reorganizing instructional delivery systems, cost-cutting, and consortial arrangements.

Although some of the papers are now dated, the volume is a useful introductory handbook because of its breadth and the perspective of many of its authors. At the very least, critical issues and possible approaches to dealing with them are raised. The chapters on instructional costs are good, particularly the one by Howard R. Bowen.

This was l. shed (1972) by Jossey-Bass under the title *Efficient College Manager*. The material is organized differently, is somewhat edited, four of the ginal apers are omitted, and one by Frederic W. Ness on "Campus Governance and Fiscal Stability" has been added.

2.5 Methodology: Computer-Based Modeling and Planning Strategies

29:2.5/79-1

Financial Planning Models: Concepts and Case Studies in Colleges and Universities, Joe P. Wyatt, James C. Emery, and Carolyn P. Landis, eds. 277 pp. (Educom, Princeton, N.J.).

This book is listed as containing the proceedings of a 1978 workshop sponsored by the Lilly Endowment and held at their headquarters in Indianapolis. The book does contain a group of papers from that conference but also contains several valuable chapters dealing with the general use of computer-based planning models in universities for long-range budget planning. These introductory papers are by William F. Massy and David S. P. Hopkins of Stanford University, who have done much of the pioneering and definitive work in this field.

The second group of papers traces specific attempts to apply Stanford's methodology in other institutional settings—Harvard, Oberlin, Lehigh, Penn, and SUNY-Albany.

A third group of papers discusses Educom's attempt to create a generalized financial planning model based on the Stanford TRADES model and two institutions' (Carnegie-Mellon and Yale) experience with that generalized model (EFPM).

This book is valuable for both its background and its specific applications of the now widely used Stanford approach. Intermediate models for long-range forecasting and transitions to financial equilibrium are covered, as well as TRADES, the latest model that

permits interactive financial planning based on trade-offs among alternatives.

Collectively, the papers deal with some common themes: (1) decisionmakers must be involved in the development as well as the ure of models; (2) data must be representative of the institution's situati:\$ and understood by the user; (3) executive support is essential for the successful use of a model; (4) models must be kept simple and straightforward; (5) results must be communicated with care on campus; and (6) models can be useful in resolving or mediating strongly held feelings about policy alternatives.

29:2.5/79-2
EFPM: EDUCOM Financial Planning Model—User's Manual,
Version 2.2, Daniel A. Updegrove, 85 pp. (Educom, Princeton, N.J.).

This volume consists of two parts, each critically useful to two different audiences. The first part briefly traces the history and development of EFPM, which is the ultimate outgrowth of the work of Massy and Hopkins at Stanford (29:2.5/74-1). That methodology was tested for general applicability in the Lilly-funded study cited earlier (29:2.5/79-1) and finally generalized by Educom for use at any institution. Over 75 institutions of all sizes are now using EFPM, which has the great advantage, compared to other models, of not requiring large masses of detailed data to operate. It is simply a matrix to be filled in by the institution, using its own definitions and data. EFPM then provides an interactive system for generalized budgeting and financial planning that will answer such questions as: (1) will the budget balance; (2) what are the budgetary implications of varying estimates of such parameters as utility costs, salaries, endowment income; and (3) what tradeoffs are possible among primary planning variables such as tuition, salaries, and new programs? Note that EFPM runs on Cornell's computer and is accessed by phone; no onsite computer capability is needed.

The second, and longer, part of this volume consists of a very detailed step-by-step description of EFPM itself. This information is intended for the person who would actually implement EFPM on a campus. Topics considered include accessing EFPM, using EFPM (including descriptions of varying program options), and creating EFPM data files. Numerous appendixes cover technical aspects of using EFPM.

29:2.5/79-3
Strategic Planning for Colleges and Universities, John C. Merson and Robert L. Qualls, 79 pp. (Trinity University Press, San Antonio, Tex.).

This volume, subtitled *A Systems Approach to Planning and Resource Allocation*, is intended for use by academic administrators and governing boards. The concepts presented are stated generally and globally with few concrete examples, except for a lengthy set of illustrative tables indicating suggested formats and contents of various operating reports. The emphasis is thus on strategic planning concepts and procedures, especially on outcomes, evaluations, and integration with the institution's other administrative processes.

After an initial chapter examining the problems facing higher education and the weaknesses of existing planning methods, the authors present their proposed planning and resource allocation system. Four stages are involved: (1) diagnosis (What is our present position?); (2) planning (What should be our mission?); (3) resource allocation (What steps are to be taken during the next 5 years?); and (4) evaluation (Have our goals been attained?). The stages are carefully linked, as a flow chart indicates, and yield four primary benefits: (1) more effective use of resources; (2) a longer range perspective for decisionmaking; (3) better identification of high-priority programs; and (4) development of capable administrators.

The four stages are discussed in some detail as to process and procedures, questions to be asked, data to be gathered, and the like, with emphasis placed on goal identification, priority assignments, and selection of strategies. The resource allocation section, for example, deals with setting measurable program objectives, developing a 5-year schedule of plans for achieving objectives, and preparing annual budgets with detailed action plans and associated costs.

The section on evaluation indicates clearly the authors' emphasis on administrative development by dealing with the assignment of responsibility for attaining objectives and the rewarding of individuals commensurate with an evaluation of their success in meeting objectives and implementing plans. Similarly, the way in which an institution organizes for the planning process is discussed in terms of each of the four stages, and the implementation of the entire strategic planning system is seen to depend primarily on administrative capability and organization from the board on down. The president's role is seen as both managing the organization and improving the management process itself, always with emphasis on developing, activating, and evaluating administrative talent.

This brief book concisely and clearly makes a strong case for strategic planning as a prime prerequisite for adequate resource

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allocation and budgeting processes and managerial development. It makes a fine introduction to and sales pitch for strategic planning; those who are convinced will want to read further.

29:2.5/79-4

Strategic Plan:.ing and Budgeting for Higher Education, John L. Green, Jr., Devendra P. Naggar, and Richard S. Ruch, 293 pp. (J.L. Green and Associates, LaJolla, Calif.).

This volume provides the required detailed and specific material to follow reading of Merson and Qualls' *Strategic Planning for Colleges and Universities* (29:2.5/79-3). Green and his co-authors present a strategic planning and budgeting process (SPB) quite similar to that of Merson and Qualls. The Green book, however, is less philosophically and theoretically oriented; it presents instead an analysis of each phase of the strategic planning and budgeting process, with step-by-step recommendations and detailed case examples of each step.

The book is divided into five basic sections. After the first, an overview section, the authors discuss plan analysis ("the systematic examination of the total situation in which the institution perceives itself"). Four aspects are analyzed: the internal environment, the external environment, the facilities, and the management information available and needed. The third section examines three aspects of strategic planning: the statement of mission and objectives, the goals and action plans, and resource use and needs analysis, with accompanying expenditure strategies. Zero-based budgeting is used to develop the needs analyses. The case study in this section is particularly useful.

The fourth section looks at the budgeting process in terms of budget development, budget execution, and budget audit. These are all aspects of the SPB system, not separate or substituted mechanisms. This budget development is closely related to the first-year goal and action plan and the resource user plan of the strategic planning document. Budget execution involves periodic review of goal achievement, as well as of financial performance. Similarly, budget audit is a review of goal achievement and budget policy compliance. The results provide the feedback necessary to begin the re-cycle of the plan analysis part of the whole SPB process. In fact, the authors stress the integration of the planning and budgeting processes: "It is only through this integration that functional interdependence of planning and budgeting is achieved and the SPB system is realized."

In an appendix, the authors attach an actual planning manual used by a university in the development of its 5-year strategic plan. As a sort of summary case study, this manual pulls together the whole book in a practical manner. The section on the development of decision packages as part of the zero-based budget analysis is quite good.

The thoroughness of this book and the excellence of its relevant case examples make it a highly useful tool for any reader wishing to understand SPB in detail and possibly even implement such a system.

29:2.5/77

Applying Analytic Methods to Planning and Management,
David S. P. Hopkins and Roger G. Schroeder, eds., 117 pp.
(Jossey-Bass, San Francisco).

In this 13th volume in the *New Directions for Institutional Research* series, Hopkins and Schroeder have chosen six papers given at the May 1976 meeting of the Association for Institutional Research (AIR). The papers cover six different areas in which analytic techniques have been used in planning and management. The papers, which are basically nontechnical in nature and summarize actual experience of the authors, apply to the question of resource allocation. Thus, the first deals with faculty resource planning at Oregon State University. A Markov flow model is used to project faculty staffing levels by age, rank, and tenure for up to 20 years. Alternative policies for appointment, tenure, and retirement can be examined by using such a model.

Secondly, a cohort survival model, used at the University of California at Berkeley, is described. (A student cohort is a group of students who enter the university as new students at the same class level in the same academic term.) The persistence rates of that group from term to term are used for projections of future student enrollment behavior. The third paper discusses the use of an aggregate budget model at Stanford University. The model is used by top-level administrators at Stanford, and the Massy and Hopkins work has been generalized and is now widely used elsewhere. *(See 29:2.5/74-1).* The fourth paper describes a computerized faculty scheduling and planning system used by the Graduate School of Management at UCLA. Fifth is a description of the use of analytical costing models at the University of Massachusetts at Amherst. And sixth is a summary overview of management systems currently available, along with an analysis of six false assumptions often made about such systems and some recommendations for properly implementing a management system.

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Because of the wide range of applications covered and the pragmatic nature of the material, this volume is essential reading for any top-level administrator considering the possible use of analytic techniques to help in a budget allocation process.

29:2.5/76
Assessing Computer-Based Systems Models, Thomas R. Mason, 112 pp. (Jossey-Bass, San Francisco).

This volume is No. 9 in the *New Directions for Institutional Research* series and consists of seven contributed papers examining various aspects of the growing use of computer-based models in budgeting and resource allocation in higher education. The first chapter describes the pros and cons of mathematical modeling in great detail with frank criticisms and suggestions. Two other chapters provide reviews of specific models—the induced course-load matrix and a fundamental model for instructional cost. Three chapters review the use of several specific existing models, both in the United States and abroad, including CAMPUS, PLANTRAN, RRPM, SEARCH, HIS (Germany), TUSS (Holland), NCHEMS, NCFPSE, and PEFM. A final chapter examines the future use of such modeling techniques.

Since computer-based models are increasingly used in budgetary planning and particularly in resource allocation or reallocation, this volume provides useful background on the successes, failures, and problems encountered in the past, as well as the establishment of criteria for obtaining greater benefits from such models in the future.

29:2.5/74-1
Long-Range Financial Equilibrium Calculations for Stanford's Operating Budget, William F. Massy and David S. P. Hopkins, 45 pp. (Stanford University, Stanford, Calif.).

This monograph is one of a series of reports by Massy and Hopkins (and occasionally others) that set forth the methodology, assumptions, and reasoning behind Stanford's highly successful and well-known efforts in computer-based planning models. This paper and the following one describe the intermediate efforts between Stanford's typical long-range-forecast model and the highly sophisticated interactive TRADES model now in use.

The broader interest in this paper lies in the derivation of the simple methodology for modeling financial equilibrium of universities in general, and particularly private universities with significant endowments. The authors define long-run budget equilibrium as producing both a balanced budget in a base year and balanced growth rates for income and expense. Budgeting processes then should be able

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definitive work in the field but important to any understanding of the
even more influential work done later by this team of authors on the
TRADES model and the genesis of Educom's EFPM model, as
described in citations 29:2.5/79-1 and 29:2.5/79-2.

29:2.5/72
University Planning and Management Techniques, Geoffrey
Lockwood, 111 pp. (Organization for Economic Co-Operation
and Development, Paris).

This monograph is a conference summary report written by one
participant in a 1969 conference held in Paris that brought together
participants from 15 different countries to discuss common problems,
issues, and approaches in applying quantitative methods to planning
and management in higher education institutions. The six case studies
are discussed, along with some more general introductory and con-
cluding materials that include a detailed mathematical formulation of
the university teaching function.

The volume is of interest for two reasons. One is simply that,
while only two of the six case studies represent United States institu-
tions (University of California and Yale), the problems and issues, as
well as the technology, are remarkably similar. Secondly, several of
the chapters describing case studies focus on the budgetary process or
questions of resource allocation. In particular, the University of
California budgetary planning system and the University of Toronto
cost-simulation modeling program are summarized. A fascinating
chapter describes a physical-planning model at Cambridge University.
This model treats space as a resource to be allocated on the same basis
as that used for typical operating costs, taking into account not only
scheduled activities such as lectures and labs, but nonscheduled ac-
tivities such as residence-hall living, walking between activities, and
dining. Physical planning is then integrated with other planning ef-
forts in the university and related to various financing questions such
as capital funding.

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Institutional Management

Barbara S. Uehling

Only a few years ago, the concept of management as iden-
tified with administration was an anathema to many. Thorstein
Veblen wrote, "Men dilate on the high necessity of business like
organization and control of the university, its equipment, per-
sonnel and routine...In this view the university is conceived as a
business house dealing in merchantable knowledge, placed
under the governing hand of a captain of erudition, whose of-
fice it is to turn the means in hand to account in the largest feasi-
ble output." He went on to say that this concept of efficiency
"puts a premium on mediocrity and perfunctory work, and
brings academic life to revolve about the office of the Keeper of
the Tape and Sealing Wax."[1]
Many later observers shared Veblen's thinking, believing
education not amenable to the analyses of business. However,
despite this tradition a new kind of thinking began to emerge in
the sixties, focused on effective development and management
of institutional resources and fiscal accountability. In spite of

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[1]Francis E. Rourke and Glenn E. Brooks, *The Managerial Revolution in Higher Educa-
tion* (Baltimore: The Johns Hopkins Press, 1966), p. 3.

the tensions between those who were convinced that efficiency
and effectiveness in higher education were mutually exclu.ive,
management of colleges and universities is accepted today as the
concept of administration was accepted earlier. The demands
for accountability that have arisen with greater government in-
volvement in education, the financial crises that have occurred
in some institutions, the demands imposed by collective
bargaining, and the recognition that institutions can be
mismanaged and even fail have all made management more ac-
ceptable and even a near necessity. Administration still retains
the more passive, reflective mode, while management is viewed
as exhibiting more action and initiative.

Today's concept of management is often identified with
quantitative, rational judgments and decisions rather than the
earlier viewpoint of a subjective, nonquantitative approach.
More frequently now the definition of management offered by
Koontz and O'Donnell seems to fit higher education. They
describe management as "the action of coordinating human
resources, of making possible the accomplishment of desired
objectives by establishing the environment for effective opera-
tion of people working in organized groups."[2]

For purposes of this bibliography, management is broadly
defined as the: (1) planning, (2) organizing, (3) staffing, and
(4) directing and controlling of an institution. Some aspects of
these functions are given specific attention in other chapters of
this book, and so are excluded here. Planning as a major
management activity receives separate treatment in Chapter 31,
Institutional Planning, Studies, and Analyses. However, the line
between planning and implementation is not easy to draw.
Some entries included here, particularly those within the over-
view section, discuss planning and its implications for the
manager.

Leadership, as a very distinctive element of management,
is also treated in Chapter 32, Leadership and the Presidency.
Yet some managers want and need to be leaders. So, again,
some entries included here discuss the qualities and demands of
leadership.

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[2]Harold Koontz and Cyril O'Donnell, *Principles of Management* (New York: McGraw-
Hill Book Co.), p. 1.

The remaining components of management—organizing, staffing, directing and controlling—are presented under three headings.

Overview and General Considerations of Institutional Management. This section includes works which: (1) are philosophical in nature; (2) present an overview of the management function; (3) are concerned with institutional change; and (4) present the increasingly specialized topic of higher education and the law.

Staffing. The selection, motivation, and management of staff is a primary function of a manager. As a valuable general work in this area, one volume from outside the field of higher education has been included. Two works relating specifically to middle management staff in higher education have also been included as ways to help individuals reflect upon the definition and responsibilities of middle management staff. Finally, several volumes on equal opportunity, a topic intimately related to management, have been included.

Directing and Controlling. The directing and controlling functions of management include many subcomponents such as goal setting, communication, motivation, evaluation, and decisionmaking. Some of these functions are included in the volumes categorized as overview works. Those devoted to specific topics which can be described as directing and controlling are included here.

TOPIC ORGANIZATION

30: Institutional Management

    1.0 Overview
    2.0 Staffing
    3.0 Directing and Controlling

1.0 OVERVIEW

30:1.0/78

The Art of Administration: A Guide for Academic Administrators, Kenneth E. Eble, 160 pp. (Jossey-Bass, San Francisco).

    Persons thinking of entering administration, newly appointed to administrative positions, or seeking to measure administrators they know will find Eble's book a helpful framework of "do's" and "don't's" for dispatching the details of administration.

Eble offers nine axioms for the efficient use of time and accomplishment of goals, and he proposes 30 "desirable skills" and offers advice for gaining them. A number of skills are so titled as to suggest a fresh administrative approach. "Gathering," for example, designates the inherent need for a gregarious dimension in the administrative personality. "Honoring" denotes the need to recognize "unheralded services that are an intrinsic part of scholarship and teaching." Eble includes a valuable discussion on balancing service to the group with leadership of the group. His treatment of administrative style is captured in the statement: "Ideally, style should come from *what* a person is as much as from *how* he or she *does* things."

The book concludes on an appropriate tone by exhorting the educational administrator to become attuned to the moral center of the people and purpose he serves and to work from an idealistic base.

See also: 20:2.2/78 **Handbook for College Administration,** Benjamin E. Sprunger and William H. Bergquist.

Administration, to these authors, is most helpfully viewed as management process. Academic administration is to be viewed much as management in business and other types of service organizations although having distinctive components, which are pointed out where relevant. The organization of the handbook follows the six traditional functions of administration: planning, organizing, staffing, leading, evaluating, and developing.

The uniqueness of the volume is in the provision of documents giving practical guides for implementation of some facet of each topic. These documents range from a questionnaire that might be used in a small group of administrators to elicit comments and discussion on the principles of college administration, to announcements and descriptions of positions and an enumeration of the steps that should be taken in following affirmative action. The examples are particularly well suited for use in small colleges.

The compendium of topics that the authors have included serve almost as a checklist of administration to which individual administrators should give thought. Although an in-depth discussion of topics included, such as authority and accountability, is not given, a succinct and clear description of some elements to be considered in each topic is provided. Likewise, some generalizations are not surprising, such as, "not all people are motivated by the same needs...," but it is useful to be reminded of the need to guard against oversimplification in categorizing people, especially in a discussion of leadership and adult development.

The volume is a worthwhile handbook, especially for new administrators.

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30:1.0/75-1

Managing Change in Educational Organizations, J. Victor Baldridge and Terrence E. Deal, 523 pp. (McCutchan Publishing Corporation, Berkeley, Calif.).

In their opening chapter, the authors recognize no dearth of literature on educational change or innovation. The problem is that these writings tend to suffer from the same maladies—an overwhelmingly theoretical approach, an emphasis on change adoption by the individual (despite the fact that in education the relevant unit is the organization), insufficient emphasis on policy issues, too much stress on factors that cannot be changed, and over-commitment to single approaches rather than examining alternative strategies.

Managing Change in Educational Organizations was written with the objective of pulling together the best of the literature to remedy these shortcomings. It is organized into three parts: perspectives, strategies, and case studies.

To Baldridge and Deal, educational change is imperative, constantly demanded by society, and exceedingly difficult to implement. From the outset they caution that there are no easy answers.

Their study covers all educational levels from elementary school to the university. However, the material dealing with lower levels can be expected to prove useful to postsecondary administrators. The scenes and actors may vary, but the underlying tensions, dilemmas, and promises of educational change are cut from one cloth.

30:1.0/75-2

Management Control in Nonprofit Organizations, Robert N. Anthony and Regina Herzlinger, 355 pp. (Richard D. Irwin, Inc., Homewood, Ill.).

Anthony and Herzlinger, both of the Harvard Business School, wrote their text with two main audiences in mind: students taking formal courses in management control of nonprofit organizations, and avocational students attending such organizations. They define management control as "the process by which managers assure that resources are obtained and used effectively and efficiently in the accomplishment of an organization's objectives." Nonprofit organizations, the authors concede, are admittedly more difficult to define precisely, but can be distinguished for the most part by their overriding purpose of providing a service rather than turning a profit. While basic management control concepts are the same in both sectors, their applications, or the relevant management techniques, differ between profit and nonprofit bodies.

Management Control in Nonprofit Organizations examines the principles and problems underlying the administration of major kinds of nonprofit organizations (such as health, transportation, research, utilities, welfare, and education). About a dozen examples are taken from education, whether pre- or post-secondary. For instance, the principle of full-cost pricing is applied to higher education tuition.

After introductory chapters on nonprofit versus profit organizations, the characteristics of nonprofit organizations, and general management control, the text devotes chapters to each of the following:

- organizational relationships (i.e., bureaucracies and management styles)
- account classification as control structure
- inputs and outputs as control structure
- pricing
- programming: new programs
- programming: ongoing programs
- budgeting
- information and accounting
- reporting and analyzing performance
- system design and installation.

Specifically excluded from treatment are considerations of personnel selection, building an organization, determining objectives and overall goals, systems approaches, and nonmanagerial aspects of nonprofit organizational control, such as public relations.

This is one of the better written books in the field and is particularly appealing in its cheerful caveat against the apotheosis of the concepts it advances or those of management science in general: "As is the case with all principles of management, these control principles are tentative, incomplete, inconclusive, vague, sometimes contradictory, and inadequately supported by experimental or other evidence. Some of them will probably turn out to be wrong. Nevertheless, they seem to have sufficient validity so that it is better for management to take them into account than to ignore them. They seem to work in a number of actual organizations."

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30:1.0/74-1

Changes in University Organization, 1964-1971, Edward Gross and Paul V. Grambsch, 257 pp. (McGraw-Hill Book Co., New York).

In 1964 Gross and Grambsch conducted a study of the goals and power structures of American colleges and universities, surveying faculty and administration from 68 schools. Seven years later they replicated their study. The objective was to see if the upheavals of the sixties had significantly altered power structures and goals in U.S. institutions of higher education. The answer: there has been less change than one might have expected, and that in ways one would not necessarily have anticipated.

Gross and Grambsch discovered that both goals and power structures arrived at the seventies virtually unchanged. Academic freedom and faculty careers ranked high in importance *après le deluge* as well as *avant*. Undergraduate teaching and students in general started off as low men on the totem pole and remained that way. Nor was the distribution of power significantly disturbed. The power of chairmen decreased slightly, that of administrators increased somewhat, and the power of outsiders, faculty and students grew the most. Their relative positions, however, remained the same: at the top, presidents, regents and vice-presidents; in the middle, deans of graduate schools, faculty and legislators; at the bottom, students, grantors, alumni and citizens. Parents finished last in both years.

"The events of the sixties, it seemed, produced not so much a shaking up as a shaking down, with strong signs of stability in our 68 universities," the authors state. One particularly interesting result of this process is an apparently growing product differentiation among U.S. colleges and universities. Gross and Grambsch see less effort to emulate the big name schools in being all things to all men and a greater attempt to excel at what a particular institution can do well. They note a growing stratification within American colleges and universities (a widening gap between productive and less productive schools, for example), which may be approaching fragmentation.

For successful, not to say innovative, higher education management in the eighties, a knowledge of the immediately preceding era is essential. *Changes in University Organization, 1964-1971* provides such a background.

30:1.0/74-2

Essentials of Management, Harold Koontz and Cyril O'Donnell, 482 pp. (McGraw-Hill Book Co., New York).

The title of Koontz and O'Donnell's 1974 work summarizes its purpose—to present the essentials of management. As such, it differs

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from their earlier *Principles of Management,* which has gone through a half-dozen editions since it first appeared in 1956, in that *Essentials* is shorn of the advanced concepts and techniques and references to research of the previous volumes. It is a must for both student and practitioner of higher education management or administration.

The main theme of the volume is that the essentials of management are the same regardless of the level of management, the nature of the organization, or even the culture in which the organization operates. Specifically, management can usefully be broken down into the functions of planning, organizing, staffing, directing and controlling. Anyone who performs these functions manages: "The president of the large American corporation is a manager. His Holiness the Pope also manages. Both men must plan the results to be obtained and lay out the means, organize accordingly, staff their organizations by adequately choosing and developing subordinates, direct them in the accomplishment of work, and control (check on performance and correct deviations from planned action)."

The authors make it clear, however, that they recognize the validity of approaches other than the operational or functional school. These are presented in the first part of the book for the student's orientation. Further, from the outset they are careful to affirm that the functions of management are exercised in the context of, and in contact with, any number of external systems—technical, political, socioeconomic, ethical, and so forth.

After the introductory section, which discusses such matters as the background of management science and its major schools, the book is organized around the five basic functions. Grouped with each function are four to six chapters dealing with the main problems associated with it. Thus, for example, part six on directing consists of chapters on the nature of directing, motivation, communication, and leadership.

The volume ends with case incidents for each section of the book and an index. The former, in contrast with the more familiar case study, does not add commentary or questions to the basic narrative. This format, it can be argued, can be useful in extending the shelf life of the book.

Indeed, one may expect that, in general, *Essentials of Management* will prove a helpful guide to the understanding and practice of management in the 1980s. It is the fruit of the authors' decades of management experience (in industry, education, government, and other fields), as well as their years of study and teaching on the subject (both are currently part of the faculty of the Graduate School of Management at UCLA). While Koontz and O'Donnell are quick to caution that management will never become an exact science, they

have done much in this and their earlier works to move it in that direction.

30:1.0/74-3

Leadership, Goals, and Power in Higher Education, Barry M. Richman and Richard N. Farmer, 364 pp. (Jossey-Bass, San Francisco).

This volume is written for managerial administrators and is related to leadership only to the extent that leaders need to understand higher educational institutions as organizations to be managed.

Topics treated include the following: goal setting, establishing priorities, effective use of power, conflict avoidance and resolution, long-term and strategic planning, information and control systems, staffing and organizational design, leadership direction and communications, and utilizing human motivation.

According to the authors, the university is best conceptualized as a system which transacts with the environment. Understanding of the system will require the study of inputs, internal subsystems, outputs, fundamental constraints, and interfaces. Each of these topics is extensively discussed. For example, the authors have reviewed research concerning goals of institutions and then proposed a suitable rank order of goals for institutional adoption. The inputs of personnel, plant, land, and equipment all need to be related to these goals. A chart depicting internal subsystems and interfaces is provided to assist in understanding the formal and informal structure. An analysis of subsystems and interfaces is necessary, according to the authors, to use power effectively. Formal levels of management and special problems associated with communication among them are also discussed.

The structure provided in this book is useful as a reference for reaction. The ordering of goals an institution might choose may differ from the list proposed but may be better because of the comparison. Considerations of internal systems may or may not vary from those offered, but should be improved by thoughtfully accepting or rejecting the treatment of the authors. The understanding of any institution should be facilitated by reading this work.

30:1.0/74-4

Managing Today's Universities, Frederick Balderston, 307 pp. (Jossey-Bass, San Francisco).

This book is in part the outgrowth of a major program of research on university administration conducted by Dr. Frederick Balderston and others at Berkeley from 1968 to 1973. The work in part reflects the author's rich background of administrative ex-

perience and teaching about administration. There are 10 chapters which provide a conceptual framework, plus practical descriptions of the constituencies involved in university governance and management, their values and objectives, the policy analysis process, and university market environments. Several chapters discuss the economics of university management. There is a chapter on information needed for management, and a final chapter examines the management requirements for institutional survival, stability, and excellence.

This book is primarily focused on the internal management of the university, although important external forces are given considerable attention. There is a heavy emphasis on fiscal management and on the use of quantitative management procedures, although the author also is quite sensitive to the values of the academic community within which these management methods operate.

30:1.0/70

Handbook of College and University Administration, Asa S. Knowles, ed., 2,764 pp. (McGraw-Hill Book Co., New York).

Knowles' handbook is the closest approximation of a higher education administrator's Bible in existence. In it he draws on the expertise of 160 contributing editors to compile a two-volume work on the main topics of academic administration. The objective is to give the institutional head a purview of his or her major responsibilities as well as to assist subordinate administrators in carrying out their specific responsibilities.

The *Handbook* is written on a practical level; however, this is more than a simple "how to" book. While the emphasis is on the successful handling of specific problems, Knowles does include chapters on such topics as administrative leadership, administrative theory and higher education administration, external forces in higher education, and academic consideration of institutions undergoing substantive change.

The first volume deals with general administration and is composed of the following sections: Section 1 – Legal Aspects of General Administration; Section 2 – Governing Boards; Section 3 – General Administration; Section 4 – Planning, Space Requirements and Institutional Resources; Section 5 – Public Relations Development and Alumni Relations; Section 6 – Nonacademic Personnel Administration; Section 7 – Physical Plant Administration; and Section 8 – Business and Financial Administration.

The second volume focuses on academic administration and includes these sections: Section 1 – Legal Aspects of Academic Administration; Section 2 – Academic Affairs Administration; Section 3 –

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Admissions; Section 4 – Learning Resources—Library and Instructional Resources; Section 5 – Adult Education; Section 6 – Academic Personnel Administration; Section 7 – Student Personnel Administration; Section 8 – Athletics Administration; Section 9 – Health Programs and the Collegiate Community; Section 10 – Religion on the Campus; and Section 11 – Campus Community Facilities and Enterprises.

In his preface Knowles states that he is attempting to present academic administration in the light of the new era of greater complexity and fewer resources in which administrators must perforce now operate. One may expect a long shelf life for the *Handbook*. Inevitably, however, some of the material has already grown slightly stale since publication. Periodic updates or supplements would be an excellent example of the wise use of scarce resources which the editor calls for in the preface.

See *also:* 32:1.0/72-1 **The Future Executive: A Guide for Tomorrow's Managers**, Harlan Cleveland.

In an excellently written book based on experience and wisdom, Harlan Cleveland has discussed (1) what future management conditions will be and (2) the qualities of public executives in the future.

The environment will likely include complex public/private bundles of relations, held together by constructive tensions, styled for horizontal consensus rather than vertical command. The social fallout of technology has been to add complexity to human decisionmaking for which the public executive will be primarily responsible. The public executive will carry the "main responsibility for mixing values with technology," according to Cleveland. Decisionmaking, however, will become increasingly decentralized with a process of multilateral brokerage both inside and outside the organization. Because organizations will be more horizontal, they are more likely to be consultative and consensual in the way they operate. In order tc achieve good decisions in this environment, it will be important to have a system in which tensions and differences of opinion can be adequately aired.

"There is no career ladder called 'leadership'." Those who become executives are most likely from specialty fields, but at some point grow beyond that specialty. They become interested in administration and are challenged in complexity. A soft voice and a low-key style are most likely to succeed in a complex organizational system. Energy and optimism are two other desirable characteristics. Moral sensitivity and making choices easily subjected to public scrutiny will serve the future executive wel., for he/she will often be a public policy maker and a shaper of others' values.

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The book describes well what higher education management is becoming and is a skillful reminder to all who labor in that field of what their world is like and what they need to be effective in that world.

See also 20:2.3/78 **The Law of Higher Education**, William A. Kaplin.

An essential reference book for college managers. Provides an overview of current academic legal issues and their backgrounds.

Kaplin has updated his 1978 work with *The Law of Higher Education 1980*. This updated edition can be used to supplemen the earlier volume or used independently as a summary of major legal educational developments from the mid-1978 Bakke decision to early 1980—such developments as stricter affirmative action guidelines, implications for faculty collective bargaining arising from the Yeshiva case, and new guidelines and regulations on discrimination against the aged and the handicapped. The format follows that of the book's predecessor.

2.0 STAFFING

Note: For affirmative action see Topic 26, Faculty, subtopic 2.5 Discrimination and Affirmative Action.

30:2.0/72
Personnel: The Human Problems of Management, George Strauss and Leonard R. Sayles, 684 pp. (Prentice-Hall, Inc., Englewood Cliffs, N.J.).

Under Strauss and Sayles' approach, personnel administration is very much within management's bailiwick, not simply the concern of the personnel department. They treat major personnel problems of both blue and white collar workers (including professionals) and include findings gathered from nonbusiness settings. At the time of publication both were professors of business administration with years of consulting experience. The case histories, some of which are drawn directly from this experience, are both lively and useful.

Personnel is divided into seven main sections: Part One – Individuals, Jobs and Groups; Part Two – Motivation and Leadership; Part Three – Managerial Skills; Part Four – Organization; Part Five – Manpower and Employee Development; Part Six – Management and Organization Development; and Part Seven – Reward Systems.

Part One explores sources of both job satisfaction and frustration in factory, lab, and office workers and introduces the importance of status, acceptance, group cohesiveness, and similar concepts. This,

along with Parts Two and Three, forms the core of material most pertinent to the higher education manager.

The manager as leader is emphasized in Part Two. In it are well-written and helpful chapters on motivating employees, delegating authority, exercising authority, and molding individuals into cohesive work teams. Part Three is equally useful and includes chapters on communication, interviewing ("The Fine Art of Listening"), introducing change, and discipline. The chapters on communication and introducing change in particular shou be on every college or university administrator's required reading list.

30:2.0/71

Duties of Administrators in Higher Education, Stanley Salmen, 280 pp. (Macmillan Publishing Co., New York).

Salmen, noting the lack of understanding about what administrators do, wrote this book with the intention of giving "trustees, donors, politicians, legislators and even students and faculty members an idea of the kind of work that is necessary to administer an educational corporation." He has included 50 different positions within university administration and given job descriptions for each.

These job descriptions, though not applicable to all institutions and indeed maybe not even present in some smaller institutions, are helpful in giving management some idea concerning the "typical" job content for a particular position, how the positions might differ, and some likely characteristics of the people chosen to hold them. The book indicates some biases and may not be altogether contemporary in outlook, as illustrated by the masculine reference to the president of an institution and the inclusion of the responsibilities of the president's wife in a role which is heavily laced with entertaining.

The introduction, which includes some of Salmen's views regarding desired characteristics of administrators, is most interesting. On the one hand, the chief executive should be a "generalist" with solid knowledge. On the other, a scholar is generally not qualified for administrative duties because of the need to investigate the last detail of uncertainty before announcing a decision. The value of corporations and universities exchanging ideas is also pointed out. The reader may not agree with all that the author says but cannot help but find it provocative.

30:2.0/68

The Academic Deanship in American Colleges and Universities,
Arthur J. Dibden, ed., 269 pp. (Southern Illinois University
Press, Carbondale and Edwardsville, Ill.).

This book was written with a two-fold purpose: (1) to examine
the academic dean's primary concerns (the ends and means of higher
education at the particular institution, academic budgets, faculty, and
students and their academic programs); and (2) to gather a "represent-
ative sampling" of the 1948-1968 literature on the subject and suggest
research needs. It consists of 20 essays organized into 5 chapters: The
Dean's Office, The Dean's Roles, The Dean's Relationships, The
Dean's Image, and The Dean's Wisdom. Each chapter is preceded by
an introduction providing perspective on the particular topic and sum-
marizing the contributors' academic backgrounds.

The anthology's intended audience is stated as new and acting
deans, as well as presidents, professors of higher education, faculty,
and students of academic administration. It can be expected to be of
continuing usefulness to these groups in that the essays are generally
good, the office of academic dean has not altered too drastically dur-
ing the last decade, and no comparable recent work has been pub-
lished. Nonetheless, much of the tone of some of the essays bespeaks
an era of both less complexity and greater prosperity in the higher
education sector. Thus, for example, Leslie M. Mayhew's earnest dic-
tum that the academic dean of even the smallest institution should
have a secretary (p. 102), John Ciardi's fine disregard for the employ-
ment prospects of students (p. 186), and Harlan Cleveland's assertion
that "the word management, with its heavy connotative freight of ef-
ficiency and good order, applies dubiously, if at all, to academic ad-
ministration" (p. 232). This is a worthwhile volume whose value could
be much enhanced by a new edition for the eighties.

3.0. DIRECTING AND CONTROLLING

30:3.0/80-1

Management, Governance & Leadership, John D. Millett, 208
pp. (AMACON: a division of American Management Associa-
tions, New York).

This is an extremely useful book to presidents and vice presidents
of higher educational institutions. It is succinctly written and has a
conceptual framework that contributes to a logical structure making
for easy reading.

The commonalities of organizations are discussed first, with
management being one of the common characteristics of all organiza-

tions. Management, according to Millett, is work planning and work performance. Many managers will be involved in any organization. Their task will be balancing planning and performance.

The feature that most distinguishes organizations is purpose. According to Millett, the purposes of education include instruction, research, creative activity, public service, educational justice, and constructive criticism. The mission statement for each institution should address these components, as well as such characteristics as orientation of the campus, access provided to students, enrollment size, and enrollment characteristics. Millett observes that many of the conflicts within institutions are conflicts about the mission.

A management structure should follow from the mission statement. Extremely useful sections are offered on academic management—which is characterized as highly decentralized—health affairs management, student services management, and administrative services management. Student services and administrative services are characterized as being highly centralized. The president's role in fitting all of these areas together is discussed.

The author moves on to a consideration of governance and how it fits management, and particularly the components of governance, which range from boards of directors to alumni organizations. Helpful suggestions are given for the president throughout, and a particularly useful section to presidents is the discussion on leadership of the university. Millett remains optimistic about the university as a unique organization and believes it useful in filling the needs of a "pluralistic society, an affluent economy, and a liberal democracy."

30:3.0/80-2

Management in Institutions of Higher Learning, Erwin Rausch, 301 pp. (D.C. Heath Co., Lexington, Mass.).

The intended audience for this volume is all persons having supervisory or leadership responsibilities in an academic institution, but it will be most useful to department chairs and deans.

The conceptual organizing element for the book is labeled by the authors, "the linking elements concept." This concept refers to the idea that any organizational unit will achieve its highest level of performance if its manager can align the needs of the unit with the characteristics and needs of the people in it. Much of the first portion of the book is devoted to strategies the manager can employ to achieve integration of the linking elements.

Lengthy treatment is devoted to the goals of the organization—strategic, operational, and developmental. Problems in goal setting are discussed, as are topics on how many priorities should be set and

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how to establish these, who does the goal setting, and who is accountable.

Remaining linking elements include psychological needs, tangible needs, performance standards, technical competence, and rules, with some attention given to how these elements interconnect. Finally, several chapters written by different authors are included on such specialized topics as governance, academic affairs, student affairs, and administration and finance. These last chapters are informative but less well integrated into the overall conceptualization of the book.

The volume is useful in helping managers think about the inter-relationship of activities for which they must provide direction and in the specific treatment given to those topics separately treated in the last portion of the book.

See also: 31:2.0/79 **The Assessment of College Performance,** Richard I. Miller.

The evaluation syndrome will be more and more characteristic of the eighties. As Miller indicates, the initiative for evaluation should be taken by the institution rather than by external agencies and is the peculiar responsibility of the chief administrator.

Ten aspects of the academic enterprise around which evaluation should be organized are offered by Miller, and evaluative criteria for each of the components are suggested. The 10 foci, to which a chapter each is devoted, include: (1) goals and objectives; (2) student learning; (3) faculty performance; (4) academic programs; (5) institutional support and services; (6) administrative leadership; (7) financial management; (8) the governing board; (9) external relations; and (10) institutional self-improvement.

Exemplary questions which might be asked in evaluating each area are offered. Also presented are empirical data, where relevant, and suggestions of specific instruments that may be used. Although a possible weakness may be evident in the small amount of attention paid to physical facility questions, the book does direct attention to needed areas of evaluation and does so in a manner directly useful for application by management. An incentive is also offered by pointing out some rewards of good management.

30:3.0/74

Theory in Practice: Increasing Professional Effectiveness, Chris Argyris and Donald A. Schon, 244 pp. (Jossey-Bass, San Francisco).

The difference between espoused theories of behavior and the tacit knowledge that actually governs behavior in professional practice is important to understanding professional effectiveness, according to

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the authors. General characteristics of effectiveness in professional practice are described, and the specific measures that can be taken to increase effectiveness are discussed.

The effectiveness of organizations is related to man's view of himself and how that view determines his behavior. Much of the book involves the comparison of "Model I," which is competitive "self-sealing behavior," to "Model II," which involves precepts of openness and trust. This latter model, according to the authors, can make work more meaningful and enhance human activity, responsibility, and learning.

The last third of the book discusses professional education and how effectiveness can be increased in the areas of student training, curriculum design, clinical practice, and continuing education.

There is considerable similarity between this book and Argyris's two earlier ones on organizational behavior. Less understanding of training to increase professional effectiveness is included than the title might imply. However, the approach to organizational behavior is useful, and the book provides an understanding necessary for full familiarity with the literature.

30:3.0/71

Efficiency in Liberal Education, Howard R. Bowen and Gordon K. Douglass, 151 pp. (McGraw-Hill Book Co., New York).

Economists describe efficiency as the ratio of cost to output. In education a necessary subjectivity must enter judgments of quality which are an integral part of output measures. This makes the problem of improving efficiency in higher education very difficult, since it can be viewed as the ratio of cost and quality. However, the goal is paramount in every manager's heart.

The study described in this book examined six modes of instruction as they relate to the possibility of improving educational quality while reducing costs. The study was confined to small, independent liberal arts colleges, with a primary focus on instructional as opposed to noninstructional costs. The approach, however, is applicable to larger institutions.

To answer comparative questions among methods of instruction, the costs of instruction were computed in a hypothetical liberal arts college with certain assumed characteristics. Using these costs as standards, the authors calculated effects on costs from modifying assumptions related to faculty teaching, total enrollments, etc. Finally, the effect of changes in instruction were considered. Instructional systems considered were: (1) introduction of a few large lecture sections; (2) programmed instruction using minimal equipment and in-

structor time; (3) tutorial instruction; (4) programmed individual study using mechanical aids; (5) an eclectic plan; and (6) the conventional plan. Merits and costs of each are discussed along with recommendations concerning mixes of approaches.

The specific results of the study, comparing instructional methods, are very helpful. Even more helpful is the fact that the study is an excellent prototype method that can be used to evaluate any proposed academic method involving quality judgments.

30:3.0/69

Managerial Process and Organizational Behavior, Alan C. Filley and Robert J. House, 499 pp. (Scott, Foresman and Co., Glenview, Ill.).

Designed as a textbook and a basic management course, this book has been selected for its unique value to an individual manager seeking an overall perspective and understanding of institutional management. The first chapters of the book present the history of management thought, the nature of theory, fundamentals of research strategy, and basic systems of authority.

Basic management concepts comprise most of the remaining chapter headings. However, each of these concepts is discussed as it has been treated in classical management theories, social science theories, and selected current management theories that fit neither of the other two categories.

Theories have been presented—e.g., groups are always superior to individuals as sources of policy, then findings relevant to the proposition have been surveyed and a conclusion offered regarding each proposition. This mixture, presenting theory, specific proposition, evidence, and conclusion, is most helpful.

The book is intended for managers in any field. Those in higher education will not find all the illustrations directly applicable to their field, but should profit from generalizations that may be drawn from illustrations applicable to other fields. Some sections will be particularly useful, such as those on policy, delegation, committees, and leadership. This is a book which will take, and deserve, more time than many others.

See also: **28:2.2/78 Improving Institutional Communication,** Gerald M. Goldhaber, ed.

A series of five readings directed to the higher education administrator is followed by a list of additional sources available to the administrator wanting to learn more about communication.

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The first chapter gives an excellent overview focusing on filling the three following needs of administrators: (1) understanding of the communication process, institutional goals, and constituencies; (2) selection of communication strategies; and (3) implementation of the selected communication strategy.

Most of the remaining chapters are concerned with the evaluation of communication efforts. Particular attention is given to the Internal Communication Audit, a procedure for evaluating internal communication.

The book constitutes a succinct and helpful overview for administrators, with the message clearly stated that an administrator, in order to communicate effectively, must have something to communicate.

See also: 32:1.0/76 The Effective Executive, Peter F. Drucker.

Drucker has written a number of books of benefit to managers, many particularly appropriate for business management, but *The Effective Executive* should help "everyone who, as a knowledge worker, is responsible for actions and decisions which are meant to contribute to the performance capacity of his organization."

The two assumptions which are basic to the book are that (1) the executive's job is to be effective, and (2) effectiveness can and must be learned.

Realities of the executive's world are offered early and have the effect of producing instant identification. These are that: (1) the executive's time belongs to everybody else; (2) executives are forced to keep on "operating," unless they take positive steps to change the flow of events; (3) the executive is pushed toward ineffectiveness because he is within an *organization;* and (4) the executive is *within* an organization, which may have the effect of removal from external realities.

Succeeding persuasively written chapters are devoted to needs of the executive such as "know thy time," "focus on the contribution you and your organization can make," "make strength productive," "set priorities," "understand decisionmaking." Almost any decision-maker would profit from rereading the chapter on this topic from time to time. Assistance is gained by thinking through the elements of decisionmaking, learning from the case studies discussed, and considering the importance of the differences of opinion in decisionmaking.

One of the final thoughts provided is a powerful one, namely that executive effectiveness can harmonize the needs of the organization with the needs of individuals so that employees are able to utilize the organization for personal success.

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Institutional Planning, Studies, and Analyses

Bernard S. Sheehan

Institutional planning, studies, and analyses are often viewed as three separate activities; however, they are grouped for bibliographic purposes here because of their interrelated nature and close, mutually supporting roles. Institutional planning is commonly viewed as a formal, systematic procedure that begins with a statement of institutional goals, defines specific objectives related to these goals, and establishes programs to meet the objectives. After a plan is developed, the cyclic nature of planning can extend to managing the plan, which includes assessing success in goal attainment and subsequent process adjustment as indicated by the feedback. This comprehensive model of planning is research based in that it requires institutional studies and analyses (particularly of the institution's organization, environment, and processes) to supply information for decisionmaking.

There are, of course, other aspects of institutional planning treated elsewhere in this bibliography. They include: program review (Chapter 9), language and foundations of analysis (Chapter 10), cost analysis (Chapter 13), budgeting and resource

allocation (Chapter 29), and space and facility inventories, utilization, capacities, and planning (Chapter 36). The aspects of institutional planning and institutional research covered here are divided into three descriptive categories.

Institutional Planning—The Overall Process. The perspective here is a broad, integrated view of the overall planning process, without detailed procedures or focus on any particular topic area, e.g., academic, fiscal, or facilities planning. The literature includes texts, manuals, and sourcebooks on the complete planning effort of colleges and universities, with reference to institutional type, strategic or market planning, planning for self-renewal, and alternative futures. Also included are planning handbooks that provide practical advice on the implementation of planning.

Institutional Goals. Goals establi ' the direction of planning and are therefore critical to the overall process. The entries selected treat the determination, assessment, and goal selection and employment as guides for institutional planning.

Institutional Analysi- nd Information for Planning. The literature providing information and instruction for planning has improved significantly. Topics presented here include guidance on institutional planning procedures, operations research, computer-based simulation models and other analytical instruments, and additional techniques and quantitative approaches. Information systems are an integral component of planning, in that they require planning information input and provide data for planning decisions. Much of the literature on planning information and information systems is contained in various reports, monographs, conference proceedings, sourcebook chapters, and journal articles.

The determined efforts of a number of professional associations and agencies has materially contributed to the literature on institutional planning during the last decade. Noteworthy are contributions of the Association for Institutional Research, the College and University Systems Exchange, the National Center for Higher Education Mi agement Systems, and (in Paris) the Center for Educational Research and Innovation of the Organization of Economic Cooperation and Development. From 1968-73, the Ford Found. 'on's Program for Research in University Administration at th University of

California, Berkeley, published some 46 reports that form an important early library on institutional planning. During the last decade, the Association for Institutional Research has provided a continuous flow of information on practice and theory, published in the *Proceedings* of the Annual Forum (available through the ERIC Clearinghouse on Higher Education), the quarterly series of sourcebooks, *New Directions for Institutional Research*, and the Association's journal, *Research in Higher Education*.

TOPIC ORGANIZATION

31: Institutional Planning, Studies, and Analyses

    1.0 Institutional Planning—A General/Overall Process
    2.0 Institutional Goals
    3.0 Institutional Analysis and Information for Planning

1.0 INSTITUTIONAL PLANNING—A GENERAL/OVERALL PROCESS

31:1.0/80-1

A Planning Manual for Colleges, John Dozier, Sherwin Howard, Robin Jenkins, and M. J. Williams, Jr., 68 pp. (National Association of College and University Business Officers, Washington, D.C.).

Evolved over 15 years by the National Association of College and University Business Officers (NACUBO), this manual is a revised edition of NACUBO's 1975 publication, *A College Planning Cycle.* Planning, budgeting, and evaluation are presented as integrated activities of the planning cycle. The planning process is described as one which, to be effective, must be comprehensive and continuous.

The manual introduces the concepts of planning and budgeting in colleges and emphasizes the importance of various participants in the process. In the first chapter, the NACUBO model is described, and a logical approach to implementing the planning process is outlined. In the second chapter, the NACUBO process is detailed by relating the tasks involved to the planning participants, forms, and calendar. It also integrates revenue planning with expenditure planning and discusses evaluation as it relates to the process. The next chapter addresses managerial control issues that are seen as vital in translating plans into operating budgets. These issues include budget control, cash management, student financial aid, debt policy, capital budgets, and deferred maintenance.

Four case studies demonstrate how individual institutions can adapt the NACUBO model to their particular needs in the fourth chapter. A complete set of planning forms is included in an appendix as a planning aid. The planning model has been used by numerous small colleges and other institutions.

31:1.0/80-2
Improving Academic Management, Paul Jedamus, Marvin W. Peterson, and Associates, 679 pp. (Jossey-Bass, San Francisco).

Subtitled "A Handbook of Planning and Institutional Research," this book is organized around the perspective of institutional research and institutional planning as one integrated management function. The editors note in the preface, "the planning process must be research-based to have validity and utility, while institutional research must be both future-oriented and related to institutional options in achieving institutional goals and objectives if it is not to be meaningless."

Part One explores the external environment of higher education and relates current changes to possible implications for institutional research and planning. Individual chapters explore the impact of national issues, including three major long-term trends affecting the United States as well as other industrialized nations—inflation, demographic change, and the growth of postsecondary offerings by noneducational organizations. There is discussion of the likely impact of changes in the social and political context on the planning process, including public perceptions of higher education, ideas about social justice, and demands for consumer protection. The influence of Federal programs, the implications of state government changes, and the evolving influence of various types of coordinating agencies are included.

Part Two examines the potential relations of the institution with its environment. This section on strategic planning and research identifies major organizational issues in designing an integrated planning function and provides a variety of alternative planning models tailored to the particular needs of both the institution and the problem at hand. There are discussions of the development of an institutional master plan, setting institutional goals and objectives, projecting alternative futures, forecasting economic and demographic conditions, and identifying regional and community education needs.

Part Three treats academic planning and research and demonstrates the use of institutional research and "tactical" or internally oriented planning (as opposed to "strategic" planning) on such academic problems as assessing student needs, improving the teaching/learning environment of the campus, planning new pro-

grams and assessing old ones, and identifying the resources required by these programs. Among the many specific issues in this section are the following: students' educational needs are given as guidelines to restructuring academic programs; effective teaching and learning environments are characterized; academic planning styles are related to characteristics of the institution's planning process; and a conceptual overview of the resource requirements problem is given in the form of a generalized, mathematical model.

Part Four concerns resource allocation, including ways of setting financial priorities, selecting appropriate budget strategies, and determining the needs of the institution for faculty, administrative staff, and physical plant. The individual chapters show the necessity of linking budgeting to planning and the implications of this link for both financial analysis and the budgeting process. They identify ways to analyze the allocation of faculty members among departments. There is a discussion of how to measure administrative costs and effectiveness so that resources devoted to administration can be allocated more effectively, and a review of factors involved in predicting future capital needs, such as personnel costs, scheduling policies, energy consumption, and the quality of existing facilities, as well as facility utilization.

Part Five deals with measuring the effectiveness of resource allocation in achieving institutional goals and meeting academic needs. The individual chapters look at a wide array of institutional measures and approaches to assessing institutional performance— from student outcomes to community impact—that can be used to strengthen the planning process; report on various program evaluation concepts and approaches that are available for improving program planning and operation; note that comprehensive performance reviews can serve constructive and developmental ends; and describe systematic assessments that can increase the quality of institutional management by clarifying responsibilities, refining rewards, and improving performance.

Part Six examines the relationship between offices of institutional research and planning and other management units, and suggests where these offices should be located within the administrative structure and the role they should play in the decisionmaking system. The chapters note the critical role of the president in institutional research and planning, and suggest that institutional research and planning can be performed by the same staff in one office since their relationships to other units in the institution, such as administrative data processing, and to institutional information systems are similar. There is an outline of the need to scrutinize institutional purpose and

philosophy and to coordinate carefully institutional factors in developing a successful institutional research and planning process.

The final part recognizes that institutional research and planning responsibilities must vary among different types of institutions, and goes on to recommend organizational and operational modes appropriate for four major kinds of institutions: community colleges, small 4-year colleges, medium-sized colleges and universities, and complex universities.

Each chapter concludes with a bibliographical essay and references. The volume itself has an extensive name index and a useful subject index that improve the usefulness of this large reference work.

31:1.0/79

Developing a Total Marketing Plan, New Directions for Institutional Research, No. 21, John A. Lucas, guest ed., 97 pp. (Jossey-Bass, San Francisco).

This sourcebook describes and illustrates the total marketing concept as applied to institutions of higher education, and shows how it can be implemented, including its placement in the master plan of the institution. The total marketing concept involves a comprehensive plan utilizing two-way communication and the identification of specific target groups for specific programs. Dennis I. Johnson says that "Nonprofit marketing is data and information based." He provides the market consultants' perspective of the total marketing concept and the organization required to implement effective marketing. Paul G. Larkin treats the market research methods for improving college responsiveness. The discussion includes planning information flow of items such as changes in job markets, student values, and the college's image. He notes that traditional marketing involves outreach communication concerning such factors as student recruitment, admissions, advertising and publicity, communication with prospective students, and evaluation of outreach strategies. Gerald H. Gaither, in an article entitled "Some Tools and Techniques of Market Research for Students," looks at market strategies such as mapping, surveys, targeting, and image measurement and considers the organization required and some possible ethical consequences. William R. Howard, a community development officer, in an article entitled "Community Transactions and The Marketing Process," treats current practices of community involvement and proposes a community-based marketing model; he then examines practical methods of implementing parts of it. He notes, "effective utilization of community agents in the marketing process improves the outreach capability of the college and encourages development processes within the community."

In summing up, John A. Lucas provides a framework of the marketing concept and describes current and long-range implications for institutional researchers and the whole institution. Lucas says that "a marketing plan must be developed that embraces all elements of the total marketing concept. It must identify the marketing research needed, such as enrollment profiles, population analyses, community needs assessments, employer needs' surveys, student value surveys, and feasibility studies for proposed new programs.... A detailed list of recruitment and advertising steps must be prepared, including visitation programs, speakers' programs, display programs, special courses and orientation programs, mailings and literature distribution, and the uses of the various media. In addition, the complete admissions process, from initial contact to physical presence in the classroom, must be examined." He says, "included in any complete marketing plan would be a curriculum evaluation and a strong retention program." A well-researched study of the institutional image and an idea of how to build on this image is another integral element of the total marketing plan presented. The marketing plan must include a scheme for evaluating the effectiveness of these marketing strategies. Lucas suggests that one of the crucial points in the success of any marketing effort is the identification of marketing expertise within the organization. It is essential that marketing responsibilities be clearly assigned to faculty and staff.

31:1.0/78-1
Strategic Policy Planning: A Guide for College and University Administrators, Robert G. Cope, 119 pp. (Ireland Education Corporation, Littleton, Colo.).

This volume explains strategic policy planning and provides practical guidelines to senior administrators. Cope sees strategic planning as opportunity analysis, a way of thinking we all use and understand intuitively. The content of the volume is intended to help identify undertakings that require long lead times, to assist institutions and individuals to take the initiative rather than to respond to change, to inspire personal effort as individuals see the value of setting and achieving viable goals, and to stimulate imagination. The author sees the context of the American system of higher education as one of a surprising diversity of postsecondary institutions with confused identities, without leadership yet competing in a market economy while using stop-gap management techniques.

Strategy encompasses choice of goals, plans for achieving these goals, and deployment of resources. Strategy is the pattern of objectives, purposes, or goals and major policy and plans, stated in such a

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way as to define what the college or university is or is to become; that is, its essential character, its personality, its essence. Strategy has two equally important aspects: formulation and implementation. This volume concentrates on the former. The formulation of strategy consists of identifying opportunities and problems, assessing strengths and weaknesses; considering the personal values, aspirations, and ideals of staff members, donors, and public; and contemplating institutional responsibility to the public. The greatest limitation lies in the difficulty of conceiving a realistic pattern of optimal goals. The inexactness of the concept of strategy, especially in the face of a changing environment, suggests that strategic planning is an art, evolving its own processes. The author reviews techniques for gathering and organizing intelligence about the changing nature of enviromental forces affecting higher education generally. He describes various tools and techniques for forecasting, including Delphi forecasting, scenarios and cross-impact analysis, and two new tools— "probability-diffusion matrix" and "values profiling." The formulation process is amenable to a number of mental skills and disciplines used in creative problem solving. Three such methods are discussed: (1) synectics, (2) lateral thinking, and (3) brainstorming. Two structured devices useful in seeking input and approaching consensus are also examined: the Educational Testing Service's Institutional Goal Inventory and the Delphi Technique. Synectics relies "on a problem solving sequence, starting with a rigorous definition of the problem and proceeding to a separation of imaginative thinking from analytical and judgmental thinking." Its particular novelty is its forced withdrawal from the problem, during which an apparently unrelated tangent is explored in free association, a process providing new ideas for solving the problem that attention has been drawn away from. Synectics utilizes a team; six is the ideal number.

A 10-step strategic planning process is suggested: (1) reexamine the statement of the institution's purpose; (2) engage in futures search, list key assumptions; (3) describe the institution and its service area; (4) identify major strengths; (5) identify major weaknesses; (6) again identify assumptions; (7) make a new statement about mission and identify goals; (8) determine guiding objectives; (9) make additional modifications of mission, goals, and objectives; and (10) synthesize strategic alternatives.

Although the process may seem overly structured, plans that do not develop from a rigorous process, or something similar, are not likely to have a comprehensive frame of reference to serve both as a starting point and as a continuing guide. One must recognize that there is going to be resistance to planning generally and to generating the data needed for planning. Ideally, the process of planning should

be directed by an individual who is thoroughly familiar with the planning techniques and who has no direct personal interest in their outcome.

Toward evaluating a strategic plan, the following questions are posed: Is the plan identifiable? Does the strategy build on the institution's strengths? Does the plan build on opportunities in the environment? Is the plan consistent with the expectations of the most important constitutencies? Is the plan consistent with competencies and resources? Are major portions of the planning strategy internally consistent? Is the strategy compatible with the personal values and aspirations of the faculty and administration? Is the strategy consistent with ethical values? Is it socially responsible? Will the plan stimulate personal effort? Has the strategy been tried somewhere else and was it successful?

The volume concludes with a notion of the president as "architect of strategy."

31:1.0/78-2

A Futures-Creating Paradigm: A Guide to Long-Range Planning from the Future for the Future, 70 pp. (American Associations of State Colleges and Universities, Washington, D.C.).

The "futures-creating paradigm" is offered as a methodology for interdisciplinary policy planning that embraces the setting of institutional objectives and the design of strategies and tactics toward their attainment. "Societal trends and value shifts constitute the sources of data for planning; the product of the planning is policy that anticipates future alternatives even as it guides current choices."

There are 10 stages in the paradigm. The planning guide discusses the stages and presents rationale and planning exercises for each of the stages: (1) trends through the coming decade, (2) values through the coming decade, (3) a policymaking matrix for trend areas, (4) a policymaking matrix for value shifts, (5) the formulation of institutional objectives, (6) the compatibility of objectives, (7) the construction of a futures scenario, (8) a history of alternative futures, (9) foresight, and (10) feasibility.

31:1.0/78-3

Academic Planning: Four Institutional Case Studies, Raymond N. Kieft, 143 pp. (National Center for Higher Education Management Systems, Boulder, Colo.).

A Handbook for Institutional Academic and Program Planning: From Idea to Implementation, Raymond N. Kieft, Frank Armijo, and Neil S. Buckley, 67 pp. (National Center for Higher Education Management Systems, Boulder, Colo.).

Field experience with earlier versions of NCHEMS Academic Unit Planning and Management manuals led to the decision to investigate the academic planning process through institutional case studies, which are described in the first volume, and to the development of the handbook, which is the second volume.

The first reports on the planning processes of four institutions, each representing one of the major institutional categories. The institutions are the Kansas City Metropolitan Community College District, the Villa Maria College, West Virginia University, and Western Washington University. The case studies identify issues and complexities of managing institutional change, including certain common planning process elements that can serve as guidelines in helping an institution establish its own planning procedures and processes. Among the concluding observations drawn from the detailed case studies are: (1) effective planning must be integrated into institutional decisionmaking; (2) academic planning is an iterative, continuing process, not a project; (3) a planning process undertakes to rationalize decisionmaking by minimizing its ad hoc character and takes into account all the benefits and costs and is not limited just to quantifiable or measurable items; (4) effective academic planning must be supported with staff expertise and requires information about external aspects of the institution; (5) the institution's determination in planning is linked to the chief executive officer's commitment to planning and to the visibility of that commitment; (6) participatory planning requires time and energy, and what begins as academic program planning should expand into comprehensive, institutionwide future-oriented efforts that are both short and long range.

The handbook is "intended to help faculty and staff improve existing academic and program planning processes or design and implement new ones for institutions not engaged extensively in research, whether state colleges or universities, liberal-arts colleges, or community colleges." It emphasizes the daily process of planning and the necessity of integrating planning and resource allocation into a single system. It deals only with centralized planning activities; it does not dwell on the technical aspects of planning such as information systems design or data generally. Nor does it examine in detail the human dimension of planning. The handbook has one chapter to help an institution determine whether it needs and wants to implement the different processes of academic and program planning. The next chapter

deals with institutional studies of current programs and resources and
of internal information (induced course load matrix, induced work-
load matrix, uses of the ICLM and IWLM, source-use matrix, student
demography, mix of students, class size, attrition and outcome
studies) and studies of external information including existing
statistics. The final chapter deals with implementing and operating the
planning cycle, including a detailed description of planning activities
for the annual calendar.

Note: NCHEMS released two volumes related to the handbook in
1980. *Supplement to the Handbook for Institutional Academic and
Program Planning,* by Ellen Cherin and Frank Armijo, provides sample
planning forms, charts, data formats, questionnaires, and a
bibliography that may be useful in the practical implementation of the
planning process described in the handbook. *Comprehensive Institu-
tional Planning: Studies in Implementation,* by Frank Armijo, Richard
S. Hall, Oscar T. Lenning, Stephen Jonas, Ellen Cherin, and Charles
Harrington, describes the experience of three institutions in im-
plementing and revising the handbook planning process.

31:1.0/77

**Planning in Higher Education: A Manual for Colleges and
Universities,** John D. Millett, ed., 526 pp. (Academy for Educa-
tional Development, Washington, D.C.).

The manual is a textbook on certain elements of comprehensive
planning and of the general issues that confront American higher
education. Omitted are decision processes involved in accepting plans
and the subject of implementation. Otherwise, processes of prepara-
tion and evaluation of plans are extensively treated and integrated.
The context of higher education and planning is described as the exter-
nal environment, which includes social expectations, economic and
demographic trends, and governmental planning, as well as the in-
stitution's internal assumptions about categories such as educational
purposes, quality standards, desirable size, relationship to environ-
ment, and assessment of resources. The decisions of colleges and
universities about purposes and policies are expressed in a statement
of mission, which sets forth the institution's response to its external
environment and its explication of its internal assumptions.

The chapter on planning for instruction treats the nature of in-
structional planning, details the sort of planning documents that
should be produced, and suggests a taxonomy of student outcome
measures. It deals with general problems in the theory of instruction

and sets out an inventory of the more important issues, which include those related to general education, technical education, undergraduate specialized and professional education, technology of instruction, and student academic planning.

Planning output and support programs must be integrated in terms of enrollment, organization, personnel, facilities, and management information. Hence, the next five chapters are technical chapters on these "foundation" plans. The following chapter deals with factors in enrollment planning, the limits of predictability, the uses of projections, methods of forecasting, categories for reporting, and planning for enrollment control. The chapter on planning for organizational structure includes topics such as the peculiarities of organizational structure, the structure of decisionmaking, and the structure and process of leadership and management. In the area of planning for personnel, the manual outlines the essentials of a personnel plan, policies on tenure, reductions in staff, salary and wage planning, affirmative actions, and collective bargaining. Planning for facilities includes plans for space inventory, utilization, standards, campus development, and capital financing. The chapter on planning for management information suggests a hierarchy of management information systems, which includes the operational information system, the statistical information system, the planning and budgeting information system, and the evaluative information system. It treats the implementation of a management information system, computerization, approaches to information management, management tools such as integrated data bases, and simulation models.

The section on budgets has two chapters, one on planning the income budget, the other on planning the expenditure budget. The final chapter is on accountability and is entitled "Planning for Evaluation."

31:1.0/76-1
Academic Unit Planning and Management, Glenn K. Miyataki and Maureen L. Byers, 170 pp. (National Center for Higher Education Management Systems, Boulder, Colo.).

This manual is intended to provide a systematic aid for planning and managing academic units including schools, colleges, departments, or divisions. It is organized into six modules: (1) identifying and organizing academic unit functions, (2) examining academic demand, (3) planning faculty resources, (4) planning physical resources, (5) planning financial resources, and (6) identifying and assessing outcomes. Each module addresses a particular aspect of the overall planning and management process of an academic unit; it consists of worksheets for identifying, organizing, and analyzing data and proce-

dures for investigating the administrators' planning and management situation.

31:1.0/76-2

Planning for Higher Education: Background and Application,
Allan O. Pfnister, 354 pp. (Westview Press, Boulder, Colo.).

From the literature of the sixties and early seventies, Allan Pfnister has brought together the more significant findings and commentaries of literally hundreds of scholars and practitioners in higher education. This wealth of material (over 800 credit footnotes) is more than a compilation of information, however; it is an effective organization and summation of the current status of American higher education. An overriding commentary by Pfnister ties the parts together and identifies major trends and developments. Pfnister believes that this approach should provide planners and others with "a perspective of how problems have developed, what factors seem to be involved in the changes taking place, and what has been the experience of others in trying to cope with the problems."

The material is organized around five major problem areas: enrollments, students, governance, curriculum, and financing. Each of the topics is introduced with a scene from the life of a new dean in an all-too-typical problem situation. The dean's narrative is followed by a review of the relevant general literature, studies, and research reports. Each section concludes with some advice to the dean for his own planning.

The first section reviews trends in enrollment and variance in projections and forecasts. There are wide variations of opinion about when, in what degree, and how the overall enrollment conditions will be reflected among the different types of institutions. With the average age of persons attending college increasing, use of the 18- to 21-year-old population as a source group for projections is being questioned, which adds to the difficulties of enrollment projection. Next, attention is directed to discussions of the contemporary college student. What "really" happened in the 1960's and what differences, if any, exist between the activist students of that period and the more diverse students of the 1970's? In the third chapter, the multiple problems of governance are viewed as new pressures are brought to bear on administration and faculty. Attempting to cope with such forces, various types of organizational structures are being tried and others proposed. Tenure is openly debated, and collective bargaining seems to have become a permanent part of faculty life. Next, curriculum seems to be undergoing significant change, and there is much writing about reforms in the instructional program. Yet how different are

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these 1970's "innovations" from many of the "xperiments" of earlier decades? What forms will the curriculum take in the 1980's? Lastly, a topic is addressed that emerged with special force in the mid-1970's: How do we finance the enterprise? Are there new forms for fiscal policy? Are there new sources of income, new economics that can be applied in times of financial stringency?

31:1.0/76-3

"Integrating Academic, Fiscal and Facilities Planning," Raymond M. Haas, *Planning for Higher Education,* Vol. 5, No. 5:2/5.

This paper has been the basis for a number of workshops and succinctly treats the notion of integrating academic, fiscal, and facilities planning. The focus more specifically is "how to develop an environment wherein the practice of integrated planning will take hold and flourish." Drawing on his experience as provost for planning at West Virginia University, Raymond M. Haas says that, aside from strong support by the chief executive, the most important determinants of the ease with which planning may be integrated are institutional organizational structure, the planning office charge, and the persistence and relevance of the planning effort.

The planning office must recognize that planning is the responsibility of every manager. Hence, to achieve integrated planning, the planning office develops, implements, and coordinates the execution of the planning process. At West Virginia University, the planning office develops planning tools, sees that planning gets done, and sees that planning gets done well. Tools developed include a statistical fact-book, an institutional statement on the division of labor on institutional objectives and forecasts, and the analytical capacity to produce special studies. The author notes that there is a high probability that planning done in a systematic and orderly manner will be successful, as will that planning that has the greatest participation by the persons who have to carry out its results. Finally, the author argues that "integrated planning can be achieved only when planning is a regularly scheduled activity which occurs frequently, and which produces results that manifest themselves in the allocation, reallocation, and effective use of resources within the institution."

The paper concludes with the following observation: "While the planning process must be described in an orderly manner or no one could ever comprehend its operation, no one studying such descriptions should be deluded into thinking that a planning process is ever orderly."

31:1.0/75-1

Planning the Development of Universities, Victor G. Onuskin, ed., Vol. IV, 439 pp. (Unesco Press, Paris).

This fourth volume in a series of publications of the International Institute of Educational Planning presents case studies about university planning in five countries: the U.S.S.R., the German Democratic Republic, the United States, Australia, and Belgium. Necessarily, the contrasts are substantial. In the U.S.S.R. and the German Democratic Republic, higher educational planning is part of a national economic plan. In the other three countries, higher educational planning occurs in the context of some degree of social pluralism and liberal democracy.

The author of the U.S.S.R. study insists that university planning cannot "produce" talent, but only develop it, and that university planning cannot determine the timing of scientific discoveries, but only encourage it. The Soviet system seeks to plan those events, processes, and objectives within the university endeavor that are amenable to quantitative appraisal and evaluation. This planning process, he says, is based on lessons of the past; the social purpose of higher education; the present state of learning; and methods for calculating the national demand for experts and scientists in industry, teaching, and culture. Although brief, the discussions of enrollment planning and admission, of job placement, of faculty education and development, and of evaluating performance provide substantial information about higher education in the U.S.S.R.

The case study from the German Democratic Republic focuses on Humboldt University (University of Berlin). The social and political milieu of higher education is outlined and provides a context for planning instruction in the university. The case examines courses offered, faculty activity, student workload planning, planning of classroom assignments, timetables, and the production of textbooks and teaching aids, as well as methods of evaluation. Some sense is made out of the complicated interaction among ministry, rector, central councils, faculty, and students.

The lengthy account of development at the State University of New York at Buffalo is three stories in one: (1) the transition of a private university to a state university, (2) the travail of a particular campus as part of a multicampus system, and (3) the complexities of planning and budgeting for a university with internal vested interests to appease and external constituencies to satisfy.

The Australian case study reports the development of the Western Australian Institute of Technology, a college of advanced education. The planning process is comprehensive and sophisticated.

The institute's decisionmaking and planning processes—along with information flows and the "indicators and criteria" constructed for planning and management—are presented.

The study of the Catholic University of Louvain deals with the development and use of an extensive management information system of substantial complexity, involving activities files, an analytical framework, and various subsystems of information flow. The authors conclude that an information system is necessary for the use of other modern management techniques, for the rationalization of university decisionmaking, and for wide participation in university affairs.

31:1.0/75-2

Long-Range Planning Kit, Satish B. Parekh. Contains: "Long-Range Planning." 77 pp. and 10 model planning questionnaires, (Change Magazine Press, New Rochelle, N.Y.).

In the introduction, the author states, "This book is intended to bridge the gap between planning and its implementation. If it serves no other purpose than to help coordinate action to carry out the educational programs of the institution, its aim will have been accomplished. In higher education, planning is designed to serve education and not just the administrative support structure. Hence, in colleges and universities, planning is not just one of the traditional management functions, but a comprehensive institutional responsibility shared as equally by the comptroller as by members of the faculty.

"The model described here shows how the planning process permeates activities taking place at an institution every day, in the English department or the admissions office, in the president's office or the division of arts and sciences. This is not done through some magical new arrangement of activities but by providing a common understanding of what the institution is, where it stands, and what it wants to be. Thus, effective planning is not simply a matter of college managers setting objectives to be achieved by various offices and departments. Rather, it is a process generated by common perceptions of what the college as an entire community must do to achieve its purposes. The planning process presented in this model is a modus operandi for the institution at every level. Utilizing...various matrices, it incorporates administration, faculty, student body, board of directors, and even community representatives. This means that planning is not imposed from the top in a linear cause-effect sequence but is done everywhere at once as commonly perceived goals become the operational substance of the institutional program."

This relatively brief work presents a planning process for an institution. It is an outline, yet it is complete. No one model can be all things to all institutions and this work does not attempt to be, rather it tries to clear a path through the process. This is achieved through a series of matrices, each of which is designed to delineate part of the planning process. These matrices are: mission, goals, responsibilities, activities, and resource plan. Also covered are evaluation and "organizing for planning."

This book contains 10 questionnaires, each of which is designed to "promote a greater awareness and understanding of the mission of the institution and the relatedness of each of its parts."

Each questionnaire is designed to be an aid to planning at the divisional level—academic departments, administration, finance, plant operations and maintenance, student services, registrar's office, admissions and counseling, placement, student financial aid, and development/institutional advancement. "These are the areas most involved in the front lines of educational issues: they are the most integral to institutional planning, and they have the broadest and most significant impact on the institution's overall activities." The questions enable self evaluation, assessment of strengths and weaknesses, goal-setting, and provide a focus for planning. Use of the questionnaires is explained and is tied to the book *Long Range Planning*, but also can be used independently.

31:1.0/73-1

Planning—Universities, Ohio Board of Regents, 100 pp. (Ohio Board of Regents, Columbus, Ohio).

This is one of 10 manuals in the Management Improvement Program of the Ohio Board of Regents. This planning manual has seven purposes: (1) to provide administrators with an organized discussion of the planning process and of plans, (2) to provide a means of sharing experiences with effective planning practices, (3) to offer ideas that can be used to improve planning practices, (4) to provide a means of evaluating planning processes, (5) to identify and describe specific plans recommended for institutions of higher education, (6) to provide a glossary of educational planning terms, and (7) to furnish a bibliography of planning literature.

The manual is intended to help an institution improve its planning rapidly or make selected refinements in its planning processes as needed. Planning is a cyclical and continuous process, described in the manual by elaboration of its elements—setting goals and objectives, identifying programs, calculating resource requirements, comparing resource requirements to available resources, allocating resources, planning for a system of program management, and planning for

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evaluation. There is a treatment of the planning function organiza-
tion, including establishing a formalized planning effort (which in-
cludes steps in organizing a planning office). This section also treats
the scope of the planning effort and the notion of participation in
planning. The prerequisites for successful planning such as commit-
ment, information data base, planning tools and techniques, in-
terinstitutional planning, and use of consultants are all reviewed from
the perspective of their contributions to successful planning. A com-
prehensive institutional plan is shown to encompass four major com-
ponents: the foundation plan (role and mission, goals and objectives,
faculty and staff projections, management information system, and
organizational component); the educational plan (instructional,
research, public service, library services, financial aid programs, and
auxiliary, student, and general administration services); the financial
plan (operating budget and capital budget components); and the
physical development plan (development concepts and planning
parameters, land use, building, and development capital com-
ponents).

31:1.0/73-2
**Planning and Management in Universities: A Study of British
Universities,** J. Fielden and G. Lockwood, 352 pp. (Chatto and
Windus, London).
 This volume is the result of a project "to examine the existing
planning, management and budgeting systems and practices in a
sample of British Universities and, having considered any other
management techniques and innovations of relevance, to produce
recommendations in the form of a handbook...."
 The initial chapter summarizes concepts and principles that
underlie opportunities and problems in university planning and
management and states assumptions, principles, and approaches used
in the volume. Other chapters are concerned with such organizational
structures as units, officers and committees, processes that flow
through these structures (planning and information), and the activities
which those structures and processes should be designed to promote,
such as teaching and research. One chapter addresses the role and
structure of administration.
 The report contains detailed statements on the financial aspects
of planning and methods of allocation, evaluation, and control of all
resources. There is a full discussion on university planning, including
the need for planning, existing practice, organizational principles,
definition of planning, planning process, elements and contents of the
process, levels and units, university planning body, annual planning

cycle, quinquennial planning cycle, planning staff work, planning information, and techniques. The two concluding chapters are devoted to management information and computerization. The treatment of management information is extensive and considers topics such as failings of existing sy.' ms, concepts of management information systems, types of data, the management information office, tools and techniques of management information, planning, and reviewing information systems. The volume compiles suggestions which serve as a summary of the report,

31:1.0/71

Planning for Self-Renewal, Ernest G. Palola and William Padgett, 118 pp. (Center for Research and Development in Higher Education, University of California, Berkeley).

The center conducted a study of statewide planning and its institutional effects in four states and also collected considerable data on institutional planning through interviews and examinations of documents. This institutional planning study set out to answer the following questions: What kind of planning is done by various types of colleges and universities? What are the characteristics of institutions practicirg different types of planning? What can be said about the conditions necessary for planning to result in substantial improvements to institutions? What steps can institutions take to meet the challenges of the "qualitative crisis"?

The authors describe the qualitative crisis along several dimensions: the politicalization of higher education, quantitative growth and the closing of alternatives, goal evasion and reluctant planning, the bifurcation of power, and the activist student in planning. Because the means-oriented features of organizations are easier to handle, administrators in higher education often "retreat to technology" and abandon serious efforts to define the more complex, more qualitative, and more subjective aspects of higher education. The "open-systems strategy" seems to have great application to higher education. Central to this strategy is the assumption that higher education contains more variables than can be comprehended at one time and that some of the change occurring cannot be controlled or predicted. Also basic to the open-systems approach is the idea that uncertainty and change are prevalent and predominant. Goal evasion is one of the central planning problems facing higher education policymakers. Instruments developed by the Educational Testing Service and others to assess how goals relate to crises of authority within the institution and to a crisis of confidence by public and legislatures outside the campus mark the beginning of a new era of conscientious effort to probe the goals problem.

The planning process is composed of three essential components: development of the plan, the plan, and implementation of the plan. The plan in itself may not be able to react to change, but an appropriate and flexible planning process does have the ability to adapt to changing situations. Eight dimensions were used to characterize the type of planning at the 80 institutions studied. These dimensions are: (1) ends-oriented/means-oriented (scope), (2) integrated/piecemeal (integration), (3) priorities/no priorities (priority), (4) periodic/ continuous (style), (5) research-based/limited data (research), (6) special/existing structure (structure), (7) joint/separate structure (participants), and (8) light/heavy faculty participation (participation). Each institution was graded in each of the dimensions; these scores were combined and used to define three types of institutional planning—substantive, mixed, and expedient.

The organizational correlates of organizational planning by colleges and universities were studied. On the whole, institutions practicing substantial planning appear to be smaller, newer, and in some ways more homogeneous communities with the following characteristics: private, small, low student:faculty ratio, many students in dorms, many students in liberal arts, fewer faculty conflicts, few Ph.D.'s awarded, and fewer faculty oriented to their discipline.

Planning and self-renewal are complex processes requiring an open, flexible, fluid approach that makes use of the expertise and special competencies of a wide variety of persons. The proposed model for self-renewal is based on four principles: program development and renewal as the most important task for planners; decision-making about program development and renewal as a process that involves close interplay of the tasks of initiation, decision, and implementation; the need for agencies and institutions to divide the labor of program formulation; and the occurrence of various contingencies in program formulation. These contingencies include high cost and joint programs necessitating institutionwide review; the identification of program gaps by disputes between units; the assumption of responsibility by the next higher level when a unit does not perform its task in program formulation; and the taking of special steps by higher levels within the institution to respect the independence of all units, but especially those with experimental and innovative programs.

Note: An important question that has not been widely addressed is "What is the reward for good planning within the institution?" Those interested in pursuing the complex notion of incentives in institutional planning should *see* Volume I, Chapter 13: Productivity and Cost-

Benefit Analysis, 13:3.2/77-1 "Direct and Incentive Planning Within a University," Stephen A. Hoenack, 14 pp. *Socio-Economic Planning Science,* Vol. II, No. 4.

2.0 INSTITUTIONAL GOALS

31:2.0/79

The Assessment of College Performance, Richard I. Miller, 374 pp. (Jossey-Bass, San Francisco).

This volume is a handbook of techniques and measures for institutional self-evaluation that, as the author summarizes in the preface, "reviews the elements that combine to form a college or university; it identifies measures, policies and procedures that can help ascertain the extent to which an institution is going where it wants to go; and it advocates a manageable and flexible approach to appraising the overall quality of the institution."

The book offers 45 evaluative criteria in 10 aspects of the academic enterprise: goals and objectives; student learning; faculty performance; academic programs; institutional support staff and services; administrative leadership; financial management; governing boards; external relations; and institutional self-improvement. These 10 general categories comprise 10 chapters of the book, while the 45 more specific criteria are individually treated at length and, hence, provide further structure to the text. In the development of each criterion, the author shows its importance, describes measurable techniques for each, and gives concrete examples of how each may be applied in particular evaluation efforts.

The final chapter addresses the task of actually doing a comprehensive institutional evaluation. The initial question is whether institutional evaluation should be done at all. If the decision is to proceed, the question becomes what kind of evaluation. Two general types of evaluation have been identified: those that are less than institution-wide in scope, and those that are essentially an appraisal of an entire college or university. Five approaches to institutional evaluation are currently being used: educational auditing, assessments by external consultants, self-studies for accreditation, self-studies for other purposes, and state and Federal reviews. The author suggests six guidelines in tailoring an evaluation plan to a specific institution or system: (1) Vigorous and sensitive administrative leadership is crucial. (2) An overall evaluation plan should be developed and communicated. (3) The process is as important as the product. (4) Evaluators should use objective data where available and purposeful, but make no apologies for using subjective data. (5) Evaluation

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should be action oriented. (6) A plan for evaluating the evaluation should be included.

The appendixes contain information on comparative studies of graduate and professional schools, institution-wide studies, and an annotated bibliography.

31:2.0/78
Using Goals in Research and Planning, New Directions for Institutional Research, No. 19, Robert H. Fenske, ed., 90 pp. (Jossey-Bass, San Francisco).

This sourcebook considers the importance of establishing criteria for goals, the need to recognize the pros and cons of goal assessment, some available instrumentations, and two case studies of goal-oriented institutional research. The authors attempt to show that concern for institutional goals can and should be part of regular research interest of the professional institutional researcher, and suggest that the result of such activities will be more significant and effective research.

In the first chapter, Cameron Fincher asserts that there is a critical need in institutional planning and evaluation for criteria by which goals, objectives, and outcomes can be assessed. Criteria, if articulated and aggregated correctly, can indicate goals or serve as proxy for them. He lists several basic principles for developing criteria. Leonard C. Romney and Gerald K. Bogen discuss issues in measuring the extent of achievement of institutional goals. They address the question of why one would measure goal achievement, point out potential advantages and disadvantages of goal assessment efforts, and then provide a process for assessing the degree of achievement of institutional goals, which they suggest may serve as a prototype for institutional researchers.

In the third chapter, Richard E. Peterson rehearses the development of the institutional goals inventory (IGI) and describes the structural and theoretical framework for the IGI, which is useful in assessing its psychometric and validity characteristics. He reviews new developments that will render the IGI more flexible and useful. Richard R. Perry tells how the University of Toledo approached the process of identifying and using goals and carrying out a state-mandated evaluation of academic programs. In the final chapter, Norman P. Uhl describes how a traditionally black university, North Carolina Central, developed its rationale for studying its goals; and how it accomplished the process and used the results.

31:2.0/77-1

Institutional Goals and Student Costs, George B. Weathersby
and Frederic Jacobs, ERIC/Higher Education Research Report
No. 2, 57 pp. (American Association for Higher Education,
Washington, D.C.).

  This monograph analytically examines relationships between the
purposes and capacities of institutions and the needs of individuals.
The authors suggest that the increasing divergence of institutional
goals and the resources to meet these goals have tended to lessen the
commonality of interests of those who pay for educational services
(students), those who decide what services should be made available
(educational policymakers), and those who receive and benefit from
these educational services (society). The gap between expenditures
needed to meet goals and actual income requires a rethinking of mis-
sion and of income sources.

  The monograph reviews American higher education as it moved
from a period of expansion and growth to one characterized by re-
trenchment and slow growth, increases in costs and prices, and the im-
pact of inflation on costs of educational operations and services. The
authors describe the process by which institutional aspirations have
grown, and suggest some of the implications of those aspirations dur-
ing periods of growth and retrenchment. There is a concise section on
the decisionmaking structures educational institutions have used and
may use to shape their futures. The authors suggest, "the more fun-
damental question is, how can structural changes in institutional
decisionmaking bring greater congruity between institutional aspira-
tions and individual choice? Implicit in effecting such changes in deci-
sionmaking is the desire and need to increase the willingness of
students to pay for educational services."

  The authors conclude by suggesting one possible future. The
essence of their argument follows: (1) the institutions have expanded
expenditures per student faster than the rate of increase in institu-
tional costs; (2) presumably these increased expenditures have moved
institutions toward their goals; (3) the cost of meeting institutional
goals has shifted increasingly to students; (4) the analyses of institu-
tional decision processes suggest that faculty and administrative incen-
tives and objectives are very different from student incentives and
objectives; (5) the entry into the educational market of new organiza-
tions that provide limited educational functions at limited student cost
and that are much more in line with student aspirations will increase
pressure on institutions to link student aspirations and student costs.
The authors conclude, "financial distress is leading institutions to
reconsider their role, purpose, and mission, as well as their patterns of
resource use. To the extent these recommendations occur and are im-

plemented, they portend a future of substantively different institu-
tional arrangements than higher education now offers."

31:2.0/77-2
**Formulating College and University Goals: A Guide for Using
the IGI,** Richard E. Peterson and Norman P. Uhl, 91 pp.
(Educational Testing Service, Princeton, N.J.).

Clark Kerr comments in the foreword that "goal setting is a
complicated enterprise with serious consequences for an institution
and the people who work and live within it. And it is also useful for us
to understand that goals are not indelibly written; they change over
time. Moreover, they are not always in the same rank of importance in
relation to one another; some can be valid even if they have low
priorities. Nor are they some kind of mysterious transcendent in-
fluence that controls and energizes a college or university; they are, in-
stead, tools for directing, measuring, and evaluating the energies that
are generated from within."

The guide describes the institutional goals inventory (IGI) and its
development, and suggests how an IGI project should be con-
ducted—its uses, and the data it can generate. It also provides
evidence of the reliability and validity of the instrument. The IGI was
developed as a tool for colleges to use in the process of identifying
basic campus goals and as a means of determining priorities among
diverse goals.

The IGI yields data for 20 goal areas; 13 are classed as outcome
goals and seven are termed process goals. The main content of the IGI
consists of 90 goal statements. Eighty are related to the 20 goal areas,
four per area; the remaining 10 are miscellaneous. Each respondent
rates each goal on how important the goal is presently, and how im-
portant the goal should be. The outcome goals areas are academic de-
velopment, intellectual orientation, individual personal development,
humanism/altruism, cultural/esthetic awareness, traditional reli-
giousness, vocational preparation, advanced training, research,
meeting local needs, public service, social egalitarianism, and social
criticism/activism. The process goals areas are freedom, democratic
governance, community, intellectual/esthetic environment, innova-
tion, off-campus learning, and accountability/efficiency.

Systematic goal setting and resetting should take place along
with planning, evaluation, and other steering mechanisms in an
overarching process of continuing institutional renewal. The guide
further suggests use of the IGI as an instrument in policy formulation.
In particular, it treats management by objectives, evaluation, and cur-
riculum design, as well as certain change-oriented activities such as

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organizational development, various problem-solving activities, socio-
logical approaches, and campus action team approaches to change.
There are also some special applications related to multicampus proj-
ects, consensus on goals through the Delphi technique, the accrediting
process, goal beliefs of public figures, and surveying off-campus
groups.

In summary, this guide is a comprehensive and analytical review
of the literature on the conceptual framework for defining and using
goals in institutional research, measurement problems and strategies,
and numerous other applications in institutional settings.

Note: Another practical volume on institutional goals and planning is
the following, which addresses the topic of specific measures of out-
comes vis-a-vis institutional statements of goals. In Volume I, Chapter
13, Productivity and Cost-Benefit Analysis, 13:1.3/78 *Measures of In-
stitutional Goal Achievement,* Leonard C. Romney, 57 pp. (National
Center for Higher Education Management Systems, Boulder, Colo.).

3.0 INSTITUTIONAL ANALYSIS AND INFORMATION FOR PLANNING

31:3.0/81

The Functions of Institutional Research, Joe L. Saupe, 27 pp.
(Association for Institutional Research, Tallahassee, Fla.).

Requested and sponsored by the Publications Board of the
Association for Institutional Research, this compact statement begins
by defining institutional research as "research conducted within an in-
stitution of higher education in order to provide information which
supports institutional planning, policy formulation and decisionmak-
ing," and then goes on to discuss the nature and purpose of institu-
tional research. Several forms of institutional research activities are
described and compared with other types of research.

Various ways in which the function of institutional research is in-
corporated into the organizational structure of colleges and univer-
sities are described, as are the other responsibilities typically assigned
to the office and the methods and techniques of institutional research.
The paper includes comments on the communication of the findings
of institutional research and gives descriptions of several general
forms or approaches to institutional research. The final section
outlines the potential of institutional research for contributing to
planning, decisionmaking, and policy formulation in many areas of
institutional governance.

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See also: 29:2.3/79-1 New Approaches to Management, J. Victor Baldridge and Michael L. Tierney.

This Higher Education Research Institute report, on the Exxon Education Foundation-supported Resource Allocation Management Program (RAMP), presents results of a nationwide evaluation of two innovations of planning and analysis at 49 private liberal arts colleges and universities. These innovative management systems were (1) computer-based management information systems (MIS) for collecting and analyzing institutional data, and (2) management by objectives (MBO) planning systems by which institutional units determine goals and the methods for evaluating their achievement.

The authors state that many of their findings can be informative for most of higher education. These include: in successful projects, the quality and quantity of data and problem-solving capacities improved; institutions with successful MIS projects reduced departmental variations in per student expenditures while those with successful advanced MIS projects decreased per student expenditures; MIS adoption can cause departments to maximize enrollments and to minimize indirect costs, interdepartmental distrust may increase, and many innovations will tend to centralize authority; these management innovations sometimes fail to link planning activities with budgeting strategies; instructional expenditures have been declining even though institutions are using many strategies to increase their income and to cut expenses. The RAMP experience suggests that benefits of MIS and MBO are worth their costs, if institutions are careful to structure these activities—that is, if existing staff are used and carefully trained, if expensive new specialists are not hired, and if consultants are used economically and leave behind them a system that can be run by local people. MIS must be appropriate to the institution's needs and, more specifically, "data must be timely, condensed, focused on real problems, and addressed to questions that people need answered. The proper use of an MIS also requires that the quality of the data be jealously guarded, that their political uses be recognized and guarded against, and that the 'tyranny of the concrete' not be allowed to warp decisions." Successful MBO projects had the following general impacts: planning became a focused, systematic, collegewide process; budgeting processes sometimes improved; institutional and program goals became clearer, more timely, and quantifiable; delegation of authority and decisionmaking increased; legitimacy of decisions increased; managerial skills became more sophisticated; an accurate, accessible data base was provided as an adjunct to decisionmaking; and formalized plans proved to be effective tools to ensure that planning occurred.

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The introductions of these new management techniques demonstrated that it behooves the innovator to understand political processes and academic organization. To this end, the authors draw on the literature and the RAMP experience to summarize certain political aspects of innovation. They note that, in academic organizations, almost all decisions are made by committees, that there is a process of "fluid participation," an "issue carousel," a long and complex "garbage can" decision process, and that conflict is common. They suggest some rules for effective political support: concentrate your efforts; know when to fight; learn the history; build coalitions; join external constituencies; use committees wisely; use the formal system; and follow through to push the decision flow.

31:3.0/79

Examining New Trends in Administrative Computing, New Directions for Institutional Research, No. 22, E. Michael Staman, ed., 108 pp. (Jossey-Bass, San Francisco).

Written primarily for institutional researchers and planners, this sourcebook presents technical issues and trends in administrative computing in layman's language. John Gwynn identifies the major lines of technical development. He examines five factors (size, cost, ease of use, expandability, and availability) to assess the impact of hardware advances on information systems and concludes that "we are moving rapidly toward the day when anyone may have a machine big enough to do the job, inexpensive enough to buy, simple enough to use, flexible enough to grow, and available enough to use when needed." Jon Rickman addresses the issue of determining the adequacy of computing power on campus, and notes that the delivery systems for computing power have increasingly become an integrated network and that they balance resources including hardware, software, and telecommunications.

Jane Ryland speaks to the availability of proprietary software and goes into the problems and pitfalls in selecting that option. In a second chapter on software, Charles Thomas discusses availability of nonproprietary software. He reviews products available and the kind of computing being performed in colleges and universities. Richard Mann discusses the role played by various data processing personnel and notes that the greatest problems with computing in higher education are "people" problems. Fred Wise deals with the implications of computers for administration and management of higher education.

The authors observe that, although it has become economically feasible to use a minicomputer for jobs that used to require a larger machine, "it is no longer necessary to go through a computer techni-

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cian to use a computer." Personnel costs will continue to dominate computing budgets in a future seen by the authors as one which also includes the data processing function becoming a utility not unlike the telephone. "Bubble memory," a new technology in computer memory, may be the source of yet another quantum increase in capacity and cost effectiveness, seen by the authors along with an increase in the amount of hardware on campuses. Perhaps the most significant impact on managers will be that they will have to become more literate about computers and computing systems. Finally, the microcomputer will emerge as a force, and will almost undoubtedly cause yet another leap in size, cost-effectiveness, capacity, and capabilities.

31:3.0/78
International Journal of Institutional Management in Higher Education, Vol. 2, No. 2, September, 127 pp. (Programme on Institutional Management in Higher Education, Centre for Education Research and Innovation, Organization for Economic Cooperation and Development, Paris).

This special issue of the journal was organized by J. J. R. Frausto da Silva and draws authors from two continents who contribute comparative insights into institutional planning and analysis. The introductory article, "Planning," by Geoffrey Lockwood, deals with the nature and purpose of institutional planning. He argues for a planning process and outlines the elements (strategic, operational, and budgetary), contents, and flow of the process. The requirements for planning staff work are analyzed, and the final section of the article reports experience with planning techniques. In summary, Lockwood notes that planning should not be confused with planning techniques or be regarded solely as a technical process.

Paul J. Plourde reviews the results of two separate studies on the use of American comprehensive models. Plourde lists some shortcomings and then follows with an interesting comparison of the findings of other authors who have studied these models. In addressing the question, "What should be done?," he suggests that it is necessary to integrate the modeling process with day-to-day information-gathering and the decisionmaking process, and that "the modeling system will have to become an interactive component of the management information system as well as the data base." He concludes, "The net result of this type of interactive modeling system would be the closing of the gap between what too often has been considered the separate functions of institutional research viewed from a historical perspective and strategic planning viewed as a futuristic activity."

The next article, by M. Hecquet and J. Jadot, gives a brief technical overview of four institutional resource allocation models in Europe: HIS, MSAR, TUSS, and GERN. The origin, logic, and characteristics of these models are described. The features compared include the calculation of the number of teaching staff, student numbers, the various activities included in the students' curriculum, sizes of groups of students, workload of teaching staff, calculation of other categories of resources, calculation of space needed for teaching activities, and any special features of the models.

The next article, "Departmental Planning" by Bruce Fuller, suggests a framework for constructing a departmental planning process. Michel Woitrin gives his notion of the future role of a university and discusses the implications for planning. His article is actually a reflection on experience obtained from the Université Catholique de Louvain, which was planned not only as a university but as an integrated component of a new community.

K. M. Hussain deals with planning data systems for higher education. He concentrates on quantifiable planning data and identifies its characteristics, stressing the necessity of integrating the planning data system with the data systems for control and operations. Prerequisites for such integration are discussed, as are the resources and organizational changes necessary for implementation of a planning data system. Claude Cossu, in "Costs: Tools for University Planning," uses a survey of the literature on university planning systems in North America and Europe to show trends in how costs are being used in planning procedures. He draws a number of interesting conclusions: there is no such thing as an objective cost; the type of cost chosen depends on what use is to be made of it; cost, being the outcome of a complex calculation, must be regarded not as a scale but as a function; the greater disaggregation of cost centers, the better the chances of approaching reality, but the more expensive the accounting.

31:3.0/77

Appraising Information Needs of Decision Makers, New Directions for Institutional Research, No. 15, Carl R. Adams, ed., 106 pp. (Jossey-Bass, San Francisco).

In the introduction, Adams notes "that we must conclude that the overall record of information system development in support of decision processes in higher education is not good." He goes on to observe that each of the contributors is constructively critical. Chester O. McCorkle opines, "we must reexamine our use of management information, determine where we have strayed, and make some changes."

Raymond F. Bacchetti cautions that "the analyst must be alert to the occasions when reduction into constituent parts is called for, as well as when integration into organic wholes will give most meaning to that which is under study. Sometimes the microscope, sometimes the telescope is the better instrument; sometimes the psychoanalyst's couch, sometimes the theater is the more appropriate arena; sometimes penetration, sometimes integration is the more promising style." Robert T. Sandin notes that "the total information system concept has led to several system development problems and should be abandoned." Frank A. Schmidtlein examines the political character of information and the impact of information system design on the governance of higher education. He observes that "many of the difficulties encountered in providing information for decisionmaking stem not from technical shortcomings, but rather from a misunderstanding of the nature and use of the information in the organizational setting peculiar to higher education." Howard R. Bowen suggests that evaluation based on outcome data that consider the "whole student" is both necessary and possible.

Earl F. Cheit says "by its nature, the systematic management approach facilitates actions that are in conflict with traditional academic values, and we are challenged to benefit from the approach without endangering the essential qualities of education." He reasons that "to be academic though systematic requires that systems thinking be liberated from technical or partisan concerns and made a true systems approach—one that embraces all aspects of education, not just those interests for which there are paying customers. Such an approach could increase the range of options and, at the same time, reduce the arbitrariness of decisions that make systems advocates appear to be efficiency cultists with little regard for education."

Adams reasons that expectations of future use of information technology must be tempered by knowledge of persistent problems. He concludes that even if the corrective measures offered in the volume are taken, significant hurdles to the extensive application of information technology in higher education will exist. In the final article, "Reflections on the Effectiveness of Informational Support for Decision Makers," Bernard S. Sheehan argues that "although the obstacles to systematic management are formidable, institutional research practitioners have made practical progress in the use of analytical constructs to provide informational support of decisionmaking."

31:3.0/75

Decision Paradigms and Models for Higher Education, George
B. Weathersby, 79 pp. (Presented at the 48th National Meeting
of the Institute for Management Sciences and the Operations
Research Society of America).

This paper presents a powerful analysis supporting the author's
proposition that "careful thinking about education planning and
management should begin with some conceptual model of how deci-
sions are made within an institutional setting." Reaching across vast
literature, Weathersby provides an integrated view of phases of the
dominant management style in an organizational evolution, stages of
personal development of decisionmakers, and the relative emphasis in
decision structures (paradigms), which determine the "most ap-
propriate" enquiring system. He suggests that "a finely differentiated
perception of the organizational context is needed to determine the
likely impact of a planning and management tool." Drawing a conclu-
sion from the converse, the author notes, "the major determinants of
a tool having a major impact lie in the organizational context and not
the internal logic of the planning and management model itself."

A range of competing conceptions of decision are reviewed and
shown to comprise special cases of a broader conceptual model.
Bureaucracy, collegium, political incrementalism, open systems, com-
pound systems, analytical rationality, cybernetics, and organized
anarchy are each related to a general decision paradigm made up of
nine elements or attributes: three types of variables (control, ex-
ogenous, and state); four linking structures (observing system, value
system, causal relationships, and constraints); the planning horizon;
and the nature of uncertainty.

Drawing from research in universities and other organizations,
the author summarizes a five-phase conception of organizational
evolution. The transitions between phases are characterized by a
management crisis that precipitates the next phase. Phases of creativ-
ity, direction, delegation, coordination, and collaboration are linked
respectively by crises of leadership, autonomy, control, and red tape.

Drawing on organizational analogs of individual development
cycles provides a link between organizational decisionmaking and in-
dividual use of information, concepts of learning, and decisionmaking
characteristic of personal developmental stages. A five-part spectrum
of individual development is reviewed to identify key characteristics,
the view of knowledge, and the view of information associated with
each stage. Initially, presocial-symbiotic-impulsive development
evolves to a self-protective stage. Particular adult characteristics of in-
terest are conformist, conscientious, and autonomous phases. The

decision structures that emphasize specific elements of the general decision paradigm are shown to be characteristic of specific phases of organizational development.

Considering planning and management information systems to be a special case of inquiring systems, Weathersby is able to review five types of inquiring systems and to identify salient characteristics of each. Lockean, Leibnitzian, Kantian, Hegelian, and Singerian philosophies of inquiry are related to organizational phases through the common element of types of data provided by the inquiring system and required by the organizational phase. The preponderance of higher education applications of inquiring systems is shown to relate to early phases of organizational evolution, which seems to indicate a vast opportunity to develop planning and management models.

31:3.0/74-1

A Description of Postsecondary Education in a Planning and Management Context, Robert A. Wallhaus, 34 pp. (National Center for Higher Education Management Systems, Boulder, Colo.).

Proposed by its author as a "think piece" to stimulate discussion within the National Center for Higher Education Management Systems (NCHEMS), the document is a summary description of postsecondary education in a planning and management context. It identifies and defines key elements of the postsecondary educational process and describes generic types of planning and management capabilities required to analyze this process and communicate information about it. The text, written in a precise technical vocabulary, shows the educational process to be an input-process-output model that identifies four planning and management subprocesses, which serve to link constituent and participant aspirations to achieve outcomes. The subprocesses of goal-setting, planning and resource allocation, education, and evaluation are inextricably linked and can be described in terms of the components of the information base that underlies communication and analysis.

A matrix with columns representing the types of major planning and management capabilities (measures, structures, procedures, and analyses) and with rows that identify the key components of the postsecondary education process (goals, resources, activities, outcomes, participants, and constraints) is presented as a way of classifying NCHEMS projects. More generally, it serves as a classification structure for research into higher education planning and management.

31:3.0/74-2

Evaluating Institutions for Accountability, New Directions for Institutional Research, No. 1, Howard R. Bowen, ed., 123 pp. (Jossey-Bass, San Francisco).

This is the first of the sourcebooks in the continuing New Directions series. Sidney Suslow, the first editor-in-chief, says in the introduction, "since its inception, the Association for Institutional Research has sought to expand interest in research on college and university programs, evaluation of institutional goals, and the development of academic plans within and among institutions of higher education."

In the first article, Howard R. Bowen opines that accountability in higher education means that colleges and universities are responsible for conducting their affairs so that the outcomes are worth the cost. He says, "The significant steps in attaining true institutional accountability are (1) to define the goals and to order their priorities, (2) to identify and measure the outcomes, (3) to compare the goals and the outcomes and then to judge the degree to which the goals have been achieved, and (4) to measure the cost and judge the degree to which it approaches a reasonable minimum. Each step in this process involves extraordinary feats of identification, measurement, and judgment." Alexander W. Astin contributes an essay on some of the philosophical, theoretical, and methodologic problems of research on the outcomes of higher education. His analysis touches topics such as ends and means, outcome measures and decisionmaking, the question of values, a taxonomy of student output measures in terms of type of outcome and type of data, measuring cognitive outcomes, relative versus absolute measures, and alternative causal models of higher education.

Frederick E. Balderston discusses how data systems can be designed to service not only operations, but also higher level management and planning, and provides observations about information as a political as well as an administrative tool. H. Bradley Sagen, in a chapter entitled "Evaluation of Performance Within Institutions," suggests that planning and evaluation are two essential tools in academic management and considers the utility and limitations of a variety of techniques. David G. Brown urges that if institutions take advantage of external evaluation, the reality, as well as the image of higher education, will be greatly enhanced. William M. Sibley provides an insightful analysis into the proposition that "demands for accountability reflect the breakdown of viable forms of governance, the weakening of autonomy, and the loss of community within higher education." Sibley analyzes the meaning of accountability and

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delineates a complex structure or matrix of conditions within which accountability can properly exist. He refers to this matrix as the "transactional frame of accountability." After inquiring into the causes of failure and the defeat of accountability, he reviews several demands currently being made on systems of higher education, with a view to determining what institutions can rightly be held accountable for, and under what circumstances. He concludes with remarks about loss of community and the consequences this loss entails.

Bowen concludes the sourcebook with the steps necessary, and difficulties that must be avoided, in organizing accountability systems at the institutional and the national levels.

31:3.0/71

Institutional Research in the University: A Handbook, Paul L. Dressel and Associates, 344 pp. (Jossey-Bass, San Francisco).

This volume is one of the first comprehensive booklength treatments of institutional research. Paul Dressel and his associates describe the primary functions and activities of institutional research, with the overall result that the reader grasps the essential unity in a field still groping for a clear definition of itself. Frederick deW. Bolman notes in the foreword that "many of the best tools for self-analysis and decision have been devised only recently. The whole technology of institutional research has taken giant steps in a relatively few years.... Institutional research, when properly used, can act as an early warning of impending crises, can help to redefine the role of the university, and can be of great value in aligning modes of operation to avoid disaster and to achieve the true goals of higher education."

Dressel begins with an analysis of the major problems in higher education. He notes that the various forces shaping higher education have consequences that can be illuminated and dealt with through institutional research. In describing the nature of institutional research in self-study, he says that the basic purpose of institutional research is to probe the workings of an institution for weaknesses or flaws that interfere with its purposes or that utilize undue resources. He says the major use of institutional research should be to facilitate decisionmaking and policy formulation. He outlines many of the bases for professional practice, including topics such as the ethics of institutional research.

F. Craig Johnson treats the study of the environment, teaching, and learning. Joe L. Saupe discusses the collection and utilization of basic data, including applications of the data, requirements and types of data, and basic data information systems. Saupe and Dressel draw

a parallel between program evaluation as an academic audit, analogous to the internal financial audit performed by most institutions. Thomas Mason contributes a chapter on developing and using information systems, and notes that the central function of institutional research is the translation of complex data generated in institutional operations into comprehensive information to serve the policymaking, planning, and governing processes. Donald C. Lelong notes that the institutional research office is concerned with relating operating characteristics such as class size, faculty salary levels, teaching loads, physical space utilization, and educational objectives to budget decisions. The office is increasingly pressed to provide comprehensive and integrative analysis on these topics.

In a chapter on long-range planning, Elwin F. Cammack considers factors that have given impetus to long-range planning, various approaches to the planning process, and the interface between institutional research and long-range planning. The authors conclude that the combination of institutional research and planning holds considerable promise for the future. Because they are interrelated, institutional research and institutional planning need to be spread throughout the institution with some coordinating office tying the whole operation together.

31:3.0/70

A Structural Comparison of Analytical Models for University Planning, George B. Weathersby and Milton C. Weinstein, 44 pp. (Office of the Vice President, Planning and Analysis, University of California, Berkeley).

This is one of the reports of the Ford Foundation-sponsored Research Program in University Administration at the University of California. The paper is somewhat dated, but nonetheless provides an important conceptual framework for the evaluation of analytical planning models designed for application in institutions of higher education. The authors use the framework to compare many of the available mathematical models and to indicate their comprehensiveness, structure, mathematical approach, and relative desirability.

The terms used to classify the structure and scope of the models reviewed are (1) function or purpose (derivation, projection, and allocation); (2) theory (market-economic, preference, trend, growth index, and equilibrium); (3) methods (input-output, Markov process, regression, autonomous, user intervention, Monte Carlo, linear programming, nonlinear programming, dynamic programming, optimal control, and analysis of uncertainty); (4) subjects (student flow, faculty, operating costs, operating revenues, capital outlay, other institu-

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tional fund sources, physical space, libraries, student services, organized research, and public service); (5) data (automated system and special-purpose collection); (6) uses (staff; curriculum, fiscal planning, physical planning, scheduling, and manpower requirements); and (7) status (research only and currently operational).

There is an extensive review of the literature and also suggestions for future research, on the basis of gaps in the range of existing applications of decisionmaking technology.

31:3.0/66

The Managerial Revolution in Higher Education, Francis E. Rourke and Glenn E. Brooks, 182 pp. (The Johns Hopkins Press, Baltimore).

This volume is an important treatise on the state-of-the-art and direction of change at the mid-sixties and, hence, helps put later developments in perspective. The authors report on a study of changes in institutional administration based on responses from more than 300 institutions to several questionnaires and many personal inteviews conducted at institutions and central governing boards. The main objectives of the study are to gage the extent to which new techniques of planning and management had actually permeated higher education, particularly in terms of the kinds of decisions being made, and what impact the new science of management had on the academic community.

The book traces the evolution of university administration from the turn of the century and deals with the resistance to rationalization, including measurement in higher education, efficiency, effectiveness, and the roles of administrators and faculty. A chapter on growth of institutional research begins, "Institutional research lies at the heart of the trend towards the use of modern management techniques in higher education." The chapter reviews the origins of institutional research, noting the two schools of thought on institutional research operation, that is, whether institutional analysis ought to deal with administrative or housekeeping issues, or should appraise "what goes on in the classroom." The study found growing agreement that the institutional research mission lies as an arm of academic administration, providing information relevant to the problems that arise on the agenda of deans and academic vice presidents, and that it has a primary responsibility to collect and analyze information bearing on the effectiveness with which a college or university is achieving its goals.

Areas of university planning and analysis that relate to such measurable factors as money and space were found to show unmistakable trends to more rational procedures. New philosophies of

budgeting are emerging, along with specific offices for preparation and control of the university budget. The survey results show the level of sophistication of computer applications in areas such as financial administration, physical plant management, student affairs, and policy planning.

The volume has a comparative study of administration at institutions of higher learning abroad and concludes that these have not seen anything like the degree of change that has occurred in the United States. The bibliography selects many of the works that in this decade and earlier, together with the various proceedings of workshops and conferences held in these years on institutional research, form an essential basis for evolution in institutional planning and analysis.

See also: 30:1.0/74-4 **Managing Today's Universities,** Frederick Balderston, for discussion of the information needs of management.

Quantitative measures, a program classification structure and program measures, the notions of cost and productivity are aspects of institutional analysis and information for planning which are described well in the following:

10:1.0/77-3 **Quantitative Approaches to Higher Education Management: Potential, Limits, and Challenge,** G. Ben Lawrence and Allan L. Service, eds., 91 pp. (American Association for Higher Education, Washington, D.C.).

10:2.1/73-2 **Program Measures,** James R. Topping and Glenn K. Miyataki, 245 pp. (Technical Report 35, National Center for Higher Education Management Systems, Boulder, Colo.).

10:2.2/77-6 **Program Classification Structure: Second Edition,** Douglas J. Collier, 65 pp. (Technical Report 101, National Center for Higher Education Management Systems, Boulder, Colo.).

13:2.3/78 **A Study of Cost Analysis in Higher Education,** Volumes 1-4, Carl R. Adams, Russell L. Hankins, Gordon W. Kingston, Roger G. Schroeder, 748 pp. (American Council on Education, Washington, D.C.).

13:3.3/75 **Measuring and Increasing Academic Productivity,** New Directions for Institutional Research, No. 8, Robert A. Wallhaus, ed., 133 pp. (Jossey-Bass, San Francisco).

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Leadership and the Presidency

David D. Henry
assisted by Kristin J. Holmberg-Wright*

As the heading states, this section of the bibliography focuses on leadership, not on the sum total of the roles, functions, duties, and responsibilities of the college or university president. The structure and organization of the office of the president, the management functions per se, and the titular and prescribed duties of administration are, of course, reflected here. Obviously, elements in the institutional setting that make for leadership, the tools available, the institutional mandates and expectations are relevant; but the central criterion in the selections is the extent to which the volume contributes to an understanding of the concept of leadership, of its place in institutional welfare and effectiveness, and of the conditions essential to its achievement.[1]

*Staff service also provided by Joan Levy and Sharon Hardman.

[1] The editor has made a studied effort to avoid the listing of "books that every president should know or read!" In this era of the generalist as president, he is expected to read widely in both public and academic affairs, and he should be a student of educational history, philosophy, and general culture as well.

For an interesting discussion of this approach to presidential reading, see an essay by David E. Drew and Jack H. Schuster, of the Claremont Graduate School, "Required Reading for College Presidents." The essay, to be published, is an outgrowth of a survey and study they conducted. A short version of this paper has been published in *Change* Magazine, July/August 1980 issue.

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The task would be better performed if there were a generally accepted and precise definition of leadership. None exists. Research into the subject as applied to higher education is sparse. The frantic public calls for leadership in government and management almost always go undefined, even unanalyzed. It is easier to describe the leader than to measure how leadership is exercised. Leadership at work can be seen, although not always early enough to credit the leader in his time.

The choices here listed reflect the view well expressed by David W. Leslie in a recent penetrating review essay in the *Educational Administration Quarterly*.[2] He emphasizes that leadership and organizational position are not interchangeable, as is too commonly held. Different people act as organizational leaders depending on a wide variety of circumstances. "Leadership is not a title, and it cannot be defined simply by looking at formal aspects of jobs and structures."

It is obvious that in the effective institution there are leaders who are devoted to different segments of operation. The leader-president recruits such people and depends upon them—those who are responsible for "leadership work," such as budget management, establishing priorities for action, planning, and the interpretation of goals, internally and externally. But he is the one who "makes things happen" overall and takes responsibility to do so. He must, therefore, have a "sure grasp of goals, operations, and who is attending to what." Even so, all observers can say as to why certain people emerge as leaders and others with similar qualities do not is that "peculiar combinations of circumstance, talent, motivation, and condition interact in complex ways that we do not understand to produce those whom we identify as leaders."[3] The variables run into the hundreds and most do not have the characteristics of uniform application. Perhaps, as some claim, leadership is as much a performing art as it is a science;[4] but both scientists and artists can be helped by training and experience!

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[2] Vol. 13, No. 1 (Winter 1977), pp. 110-122.

[3] Ibid.

[4] *Leadership: Where Else Can We Go?*, by Morgan McCall, Jr. and Michael Lombardo (eds.) (Duke University Press, Durham, N.C.), 1978.

The titles in this section are classified under the following three headings: concepts in organizational leadership; the presidency as influenced by institutional environment, personal qualities, and styles; and leadership in action.

Concepts in Organizational Leadership. These commentaries are theoretical and generalized, and apply to organizational behavior in all fields. The list here is not extensive, but highlights some of the material that has relevance for students of higher education. However, leadership arises from institutional behavior and the behavior of constituencies—faculty, students, trustees, alumni, and the politics of public affairs that bear upon institutional decisions. Generalized and theoretical approaches are of interest, but of limited usefulness. Nonetheless, the search for understanding must be conducted broadly, as well as examined within the institutional context.

The Presidency As Influenced by Institutional Environment, Personal Qualities, and Styles. Organization and structure, tradition, constituency attitudes, and resources are important elements in presidential effectiveness, but they do not determine leadership. There are many examples of success in leadership without a favorable environment, although these factors undoubtedly affect the degree of achievement. This suggests that prior to any appointment, a presidential candidate search committee should have a clear common understanding of the limitations and opportunities of the position.

The present extended use of "search" committees for presidential appointments and the development of "representative" participation in the nomination and selection process (as contrasted with the utilization of expertise in personnel selection) necessitate design of search procedures which are too often superficial, based on common agreement and trust.

Research has not established that personal qualities clearly distinguish leaders from nonleaders; but common sense and experience dictate that the absence of certain qualities mitigates against the possibilities for success. Furthermore, while the "track record" of a presidential candidate is not always predictive of success or failure, there is some insurance when past behavior and personal qualities frequently identified with leaders point toward the probability of success.

No "track record" is transferable, however. Of particular importance in final selection is the sensitivity of the appointing authorities to the ingredients of a successful "fit" between individual and institution. The followership—trustees, faculty, students, and other constituencies—must ask what positive or negative qualities they possess that may in the end determine whether leadership is successful. Are there social psychological factors present in the followership which require a special kind of leader? Is the popularized "mediator" enough? Are the old conventions and criteria adequate for today's fragmentation and adversarial mood? What is the place of "charisma," dedication, philosophical commitment, and other immeasurable personal qualities? These are new aspects of the presidency that institutions must now address.

Leadership in Action. Because leadership is more readily identified in action than in the abstract and the results are more easily measured than the intangibles that produce them, biographies, autobiographies; and institutional histories that center on presidential leaders may be insightful and revealing. The subjects of some of those chosen have exerted leadership in affairs beyond their institutions—either in higher education generally or in the wider public domain or both—but college and university leadership can best be understood at the institutional level, "where the action is." Leadership "has no meaning outside the context in which it is embedded."[5]

TOPIC ORGANIZATION

32: Leadership and the Presidency.

1.0 Concepts in Organizational Leadership
2.0 The Presidency As Influenced by Institutional Environment, Personal Qualities, and Styles
3.0 Leadership in Action

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[5]Ibid.

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1.0 CONCEPTS IN ORGANIZATIONAL LEADERSHIP

32:1.0/80

Leadership in the 80's, Chris Argyris and Richard M. Cyert, with comments by Stephen K. Bailey and Gene I. Maeroff, 80 pp. (Institute for Educational Management, Harvard University, Cambridge, Mass.).

Leadership in the 80's is an outgrowth of a symposium on leadership conducted in the spring of 1979 by the Institute for Educational Management of Harvard University. The program was organized to observe the 10th anniversary of the Institute and to identify guidelines for "developing and enhancing the leadership skills of administrators for the 1980s."

The booklet features two essays-- "Educating Administrators and Professionals," by Chris Argyris, and "Managing Universities in the 1980s," by Richard M. Cyert. The essays together deal with both the theoretical base for leadership and the strategies of management, particularly the use of management to effect desirable change— "changes that nobody wants but that everybody realizes are essential." Argyris emphasizes problem solving as related to changing underlying values and policies and to resisting the force of the status quo. Cyert's central theme is "maintaining excellence in the face of forces pulling the attention to survival."

The preface, by Stephen K. Bailey, is in effect an essay on the role of the college or university president in the 1980's, including an assessment of the leadership qualities required. And Gene I. Maeroff's summary on "Leadership: An Attempt to Look at the Future," even though, like Bailey's comments, stemming from the central pieces by Argyris and Cyert, stands as an essay in its own right.

32:1.0/78-1

Leadership, James MacGregor Burns, 530 pp. (Harper & Row, Publishers, New York).

James MacGregor Burns is a political scientist whose widely recognized and acclaimed books have been on national governmental affairs and on nationally known political figures. In this instance, he widens the scene to include some great leaders from history. His purpose is to advance a new theory on leadership. To reduce the scale of the discussion so that it may apply to colleges and universities is the difficult task of the reader.

Burns begins with the premise echoed in other books in this category: "Leadership is one of the most observed and least understood phenomena on earth." He agrees that no central concept

of leadership has yet emerged from all the research on the subject. He has come to believe, however, that contemporary scholarship has something new to offer, that "humanistic psychology" is approaching a point where generalizations that reach across cultures and across time can be made. Describing that potential breakthrough is the central purpose of this book.

Essentially, Burns would bring together the literature of leadership and that of followership. "Leadership is nothing if not linked to collective purposes," he notes. In another place, he similarly states, "Leadership must be measured by the actual social change measured by intent and by the satisfaction of human needs and expectations." In his view, this dialectical interaction between the literature of leadership and the literature of followership is related to historical causation, with so-called leaders becoming the agents of that change.

The 17 chapters in the book are arranged around five themes: Leadership, Power and Purpose, Origins of Leadership, Transforming Leadership, Transactional Leadership, and Theory and Practice. Interwoven among these themes are political-psychological theory, biography, history, and recent findings in social and behavioral science. The legitimacy of leadership, he maintains, is grounded in conscious choices among real alternatives of followers, alternatives that emerge through competition and conflict of ideas. The latter are essential to the identification of leaders and to their success. "Leaders," he maintains, "do not shun conflict; they confront it, exploit it, ultimately embody it." In his view, they also shape and mediate it.

Particularly applicable to the search for leaders in colleges and universities is the discussion of the personal qualifications of leaders—their personality, wants, families, political schooling, self-esteem, empathy, ambition, opportunity, and experience.

The publisher calls the book a pioneering exploration of the frontiers of scholarship. However received, it is a book to be reckoned with. It fits our times, a time, Burns says, in which we know too much about our leaders and too little about leadership. As he puts it, "If we can fashion a theory of leadership relevant to modern times, we might find that there is nothing more practical than sound theory."

32:1.0/78-2
Leadership: Where Else Can We Go?, Morgan W. McCall, Jr., and Michael M. Lombardo, eds., 169 pp. (Duke University Press, Durham, N.C.).

This book is an outgrowth of a 1976 conference sponsored by the Center for Creative Leadership, Greensboro, North Carolina. Special-

ists in organizational behavior, the contributors were: Craig Lundberg, Oregon State University; Ian Mitroff, University of California at Berkeley; Jeffrey Pfeffer, Stanford University; Louis Pondy, University of Illinois; Peter Vaill, George Washington University; and Karl Weick, Cornell University. Each has been identified with business administration studies, managerial strategy and behavior, and systems theory. Together, they reflect the views of social scientists with reference to social psychology research as applied to management development. The editors are Morgan W. McCall, Jr., research psychologist with the Center for Creative Leadership, and Michael M. Lombardo, also from the Center staff and the University of North Carolina at Greensboro.

The papers and commentaries are not studies of leadership, but rather an evaluation of the general state of research on leadership, notably, the ambiguities, the contradictions, and the limitations.

In the first and last chapters, the editors analyze the problem and summarize the contributions. Obviously, scholars in the field are frustrated. In 1959, Warren Bennis is quoted as saying, "...more has been written and less known about leadership than about any other topic in the behavioral sciences." In 1974, Stogdill commented, "Four decades of research on leadership have produced a bewildering mass of findings...It is difficult to know what, if anything, has been convincingly demonstrated by replicated research."

One of the basic faults, according to the editors, has been that the plethora of leadership studies report what leaders and their subordinates say they do or should do, but very few studies describe what they actually do. Another problem is the lack of sufficient documentation describing the variety in styles and conditions. Furthermore, Louis Mitroff notes that the social sciences have attempted to use the methods of the physical sciences to explain human phenomena, methods that are not wholly productive.

The editors' conclusion that "conceptually and methodologically leadership research has bogged down" explains why so few titles in this general area are available for citation in this bibliography. The main thrust of the text in this book is to support the effort to "redirect thinking about leadership and scientific inquiry by offering alternative conceptual frameworks, by identifying potentially useful but neglected variables, and by exploring methodologies that have not been adequately used."

The editors note the claim that "leadership remains more of a performing art than a science," and admit it may be destined to remain so. Nonetheless, there is an increasing number of scholars working with leadership research, past and present, and this is an encouraging sign.

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The references attached to the several chapters, including many in periodical literature, are helpful sources.

32:1.0/76-1

Administrative Behavior: A Study of Decision-Making Processes in Administrative Organization, Herbert A. Simon, 364 pp. (The Free Press, New York).

Herbert A. Simon's well-known book (first copyrighted in 1945, and revised in 1957 and 1976) attempts to show how organizations can be understood in terms of their decision processes. He deals with the relation of organizational structure to decisionmaking, the formalized decisionmaking of operations research and management science, and the problem-solving activities of individuals. He constructs concepts and a theory describing an organization (defined as a complex pattern of communication and relationships in a group of human beings) and the way an administrative organization works. This book is generally regarded as seminal in the area. At no point does Simon deal with leadership in theory or practice, but inherent is the assumption that an understanding of the basics of administrative behavior is a prerequisite to assessing management and evaluating leadership.

Recognizing that the volume is to be used by both practitioners (administrators and executives in business, government, and education) and behavioral scientists, the author suggests that not all parts of the book will be of equal interest to all readers. Thus, in the introduction he comments on the structure and organization of the text for the benefit of the reader with special interests. He also includes an introduction for executives in which he describes how his decisionmaking theory can be applied to practical organizational problems. In a third section, he addresses behavioral scientists, relating the theory proposed in the book to other approaches in the social sciences.

Chapters 4 and 5 propose the theory of human choice or decisionmaking and are the core of the book. He believes that the central concern of administrative theory is with the boundary between the rational and nonrational aspects of human social behavior. In the later chapters, he describes how organizations influence the decisions of their members, bring about consistency among those decisions, and guarantee that the decisions will be compatible with overall organizational goals.

Part II was added in 1976. Here, in Chapters 12 through 17, are previously published papers that either elucidate an issue from the earlier edition or apply the analytic scheme of those chapters to concrete organizational problems.

The book is comprehensive and makes extensive use of available literature. Using a university president as an exampl., Chester I. Barnard points out in the foreword that problems facing executives are quite the same (in the abstract) no matter what organization one speaks of, thus justifying Simon's stating principles and theoies of the "general" organization.

32:1.0/76-2

The Unconscious Conspiracy: Why Leaders Can't Lead, Warren Bennis, 176 pp. (AMACOM, New York).

Warren Bennis writes from a background of experience as university president and as a social scientist who has specialized in the study of organizational behavior. Hence, although this book is not a research study, the observations and opinions of the author merit attention. Bennis believes that there has been a loss of leadership in the world generally, as well as in higher education, and the essays in this collection, written over a period of some 6 years, deal with the reasons for that loss. Although the author has no pet remedies to advocate—there are more questions than answers—he implies that if we know and deal with the reasons for the decline, the condition will improve.

Bennis describes the "Unconscious Conspiracy" as a combination of forces and conditions that enmesh the president, consuming his time and energy and thus preventing him from doing what he really should do, that is, plan creatively for adequate future changes. The loss of institutional autonomy, excessive litigation, and the populism in the climate of public opinion add to the constraints. He emphasizes that the frustrations of the presidency are greater and the rewards fewer than is generally recognized.

The book makes interesting reading. The format includes illustrations and anecdotes of personal failure and success as well as vivid description of revolutionary movements and their impact—civil rights, youth rebellion, women's rights, the perils of the bureaucratic way—and suggests the shape of the future.

The discourse is not progressive, but the articles are grouped around four central topics: Ordeal by Leadership, The Options, The Image and the Realities, and Mortal Stakes,

The book is small and should be read as a whole. The reader has difficulty in finding the treatment of specific subjects, since there is no index and the chapter headings and subheadings are not always revealing of the content.

The author is sensitive, perceptive, touching much wisdom in epigrammatic form; at the same time, he is sometimes controversial in his challenging assertions and in the rather superficial overview of

what really happened in higher education during the period of rapid growth. The reader who believes that followers as well as leaders are needed and that followership should be studied as well as leadership will find much to support that thesis.

In recalling the giants of other days, the author fails to note they were rarely perceived as giants before their service ended.

32:1.0/73

Leadership and Decision-Making, Victor H. Vroom and Philip W. Yetton, 233 pp. (University of Pittsburgh Press, Pittsburgh).

This book was written with two audiences in mind: (1) scholars interested in leadership, decisionmaking, and organizational behavior, and (2) administrative practitioners. Practitioners may not fully appreciate the technical description of the studies, but they will gain considerable insight into leadership and decisionmaking through the chapter summaries.

The book is based on the questions: How should leaders behave to be effective, and how do they actually behave? More directly, the authors are interested in the ways in which leadership is reflected in the social processes involved in decisionmaking, particularly in the leader's choice as to how much and in what way to involve subordinates.

Based on the belief that leaders daily face the task of deciding which processes best reflect their leadership style, the authors develop a "normative" model to bridge practice and the social science theory. (A normative model for decisionmaking is based on questions as to which process *should* be used to make a decision. In comparison, a descriptive model is based on what process *would actually* be used.)

The authors present a large body of findings pertaining to the behavior of leaders in complex organizations generally, requiring one to think beyond educational administrations. For the scholar or research-minded individual, they not only explain how the data were collected but also discuss methodological problems and offer future research ideas. For the practitioner, the book offers a possible way to increase leadership effectiveness and to be more aware of the many situational and personal influences on the outcome.

32:1.0/72-1

The Future Executive, Harlan Cleveland, 144 pp. (Harper & Row, Publishers, New York).

The Future Executive is a discourse on leadership, not on the executive as manager in a narrow sense. The commentary has to do with

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leadership in all kinds of organizations, not only colleges and universities. From beginning to end, however, the themes apply directly and forcibly to the academic situations. Cleveland makes a more specific adaptation of his theses to colleges and universities in his essay on "The Education of Administrators for Higher Education" in the David D. Henry Lecture Series, 1972-78, *Conflict, Retrenchment, and Reappraisal: The Administration of Higher Education* (University of Illinois Press, Urbana, 1979).

Harlan Cleveland is a national authority on public administration. He has studied, practiced, and researched the subject, and, to use his words, spent "half a lifetime" on administrative tasks from which he garners what he believes are the "useful ideas in this book." His background has included high-level Federal Government positions in international affairs, in administration in universities as dean and president, and scholarship in all aspects of the field. He writes with perception, clarity, and persuasiveness that add up to a literary style unusual in professional commentary.

The 10 chapters in the book are divided into three parts. Four of them deal with the conditions and environment of top-level executive positions, including tension, the horizontal as contrasted with the hierarchical structure, and the relevance of public-private relationships. Another three chapters are given to illusions, myths, and similarities in the personal qualities of leaders, with titles "Ladders to Leadership," "A Style for Complexity," and "The Exhilaration of Choice." The last three chapters, "Executive Feet to the Fire," "Shapers of Values," and "Freedom in the Middle," deal with purposes.

The author has abstracted his plan, as follows: "We have guessed at the environment these future executives will share: complex public/private bundles of relations, held together by constructive tensions, styled for horizontal consensus rather than vertical command. The rest of this book will focus on the Public Executive as an individual. What are his or her ladders to leadership? What attitudes and aptitudes will future executives share in common? How can they maintain a sense of exhilaration? Who, or what, holds the Public Executives's feet to the fire of public responsibility? How does the Public Executive leader work out his or her own personal sense of direction? What firmly believed premises had the Public Executive better question and revise? And, in a world of bigness and complexity, how can the Public Executive be free?"

Although small in size, the book is encyclopedic in scope, subtle in insight and understanding, but forthright in precept and conclusion. It is a primer for beginners in administration, a text for students, a reminder for scholars, and a continuing refreshment for achievers.

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The contemporary change in leadership requirements and style under-
girds the whole, with comparisons with the past, descriptions of the
present, and the trends for the future clearly marked.

32:1.0/72-2
The Uses of the University: With a "Postscript — 1972," Clark
Kerr, 166 pp. (Harvard University Press, Cambridge, Mass.).
   Originally delivered as the Godkin Lectures at Harvard and
published in 1963, these three essays were designed "to describe and
to evaluate some of the significant new developments in American
higher education." The titles are "The Idea of a Multiversity," "The
Realities of the Federal Grant University," and "The Future of the
City of Intellect."
   Kerr spoke from the conviction that the university needed "a
rigorous look at the reality of the world" it occupied, the reality that
"new knowledge is the most important factor in economic and social
growth," and that "the university's invisible product, knowledge,
may be the most powerful single element in our culture, affecting the
rise and fall of professions and even of social classes, of regions and
even of nations."
   The essays deal with "this fundamental reality" and describe
and analyze the challenges, opportunities, difficulties, structural
changes, administrative requirements, demands, confusions, and
sometimes inconsistent responses that flow from the changed percep-
tion of the university.
   Kerr anticipated that he might be misunderstood, and in his
foreword warned that "analysis should not be confused with ap-
proval or description with defense."
   Misunderstood he was, to some degree. In the "Postscript of
1972," a new edition, he points out that his themes were accented by
events in the intervening years, and he lists 10 of them. He also lists
four reconsiderations, major revisions which he wished he had been
"wise enough, or cautious enough, to undertake." He would have
amplified the use of the term "multiversity," and the reference to
"mediator" to describe the role of the president, to anticipate some of
the distortions of phrase and criticism that resulted. He also would
have indicated how some of the emerging problems could be solved,
and how some of the needed changes could be effected.
   The Uses of the University is a benchmark book in identifying
the new setting for the contemporary university and the nature of
presidential leadership required for successful confrontation of that
setting.

32:1.0/67

The Effective Executive, Peter F. Drucker, 178 pp. (Harper & Row, Publishers, New York).

This work was the first book of its kind in attempting to study systematically what effective executives do. The book rests on the premises that the executive's first responsibility is to be effective and that effectiveness, with practice, can be learned as a habit. Recognizing that effective executives differ, he contends that what all executives have in common are the practices of style, procedure, and attitudes that make them what they are.

Chapters 2 through 7 develop the five practices or habits of mind that have to be acquired to become an effective executive. These include knowing where the executive's time is spent, focusing on outward contribution, making strengths productive, emphasizing areas of greatest performance, and making effective decisions. He concludes the book with a chapter on how to learn effectiveness.

The book, written by an accomplished consultant in the area of management sciences, is well organized and thought provoking. For the reader who wishes to follow its precepts, the book should be read more than once.

2.0 THE PRESIDENCY AS INFLUENCED BY INSTITUTIONAL ENVIRONMENT, PERSONAL QUALITIES, AND STYLES

32:2.0/80-1

At the Pleasure of the Board: The Service of the College and University President, Joseph F. Kauffman, 122 pp. (American Council on Education, Washington, D.C.).

The author has an unusual combination of qualifications to insure his credibility. He writes from experience as dean and president and as a scholar who has made the study of the presidency a chief research interest. The realism underlying the commentary is evident to any informed reader. However, his observations are not built upon personal experience alone; many aspects of the topic are research based. Over 40 institutions were visited as a part of the study. The chapters are well-referenced.

Beyond the realism of turbulent times, the limitations upon the presidency, and the difficult confrontations, the book throughout has a forward look and clearly crystallizes the qualities of presidential leadership that are required in the period ahead. He sees the role of the president changed but more crucial than ever, whether the tenure be long or short.

Each chapter stands alone as an essay on its topic, although there is continuity and coherence in the whole. The first main chapter, "The Presidency—Yesterday and Today," is a vivid history of the position, the changes over time, and the constants. Then follows an analysis of the modern selection process and the problems and limitations associated with current practice. The "New College President" is the theme of the next essay, which provides an excellent orientation for would-be presidents and candidates. The relationship of the president to governing boards, both in the single campus arrangement and in the system structure, is then discussed. The system plan, a fairly recent development on the American scene, is well-described, with its ambiguous constituencies, political involvement, and lack of campus identification. The chapter presents a clear analysis of what's wrong and how the system performance can be improved.

Other chapters deal with new developments in governance, with the four decades of increasing constraint upon the position, with the quagmire of dilemmas, including collective bargaining, adversary relationships, and political controls. The personal side of the presidency, with its dysfunctional aspects and harsh demands, is well described. The book concludes with the assessment of presidential effectiveness and the president's responsibility for educational leadership. A philosophical base, with dedication to service and public interest as a primary premise, is regarded throughout as an inherent requirement in a successful presidency.

At the Pleasure of the Board is a complete treatment with historical background as well as thoughtful analysis of changes, current tasks, and new concepts. The book is a basic item in a bibliography on the Presidency and Leadership.

32:2.0/80-2

Maximizing Leadership Effectiveness: Impact of Administrative Style on Faculty and Students, Alexander W. Astin and Rita A. Scherri, 232 pp. (Jossey-Bass, San Francisco).

The report here published was financed as a project by the Exxon Education Foundation, conducted over a 6-year period. While of considerable general interest, the findings are especially directed to administrators and faculty and to those "who recruit, select and prepare academic administrators."

For this study of administrative outcomes, the authors used a sample of 49 small private liberal arts colleges. Over 2000 personal interviews with administrators and faculty were conducted and evaluated. The lengthy sample questionnaires, the interview questions, the coding scheme applied to the responses, and the pattern of

detail utilized in composing profiles of chief administrators are reproduced in six appendices.

The authors conclude that "presidential and administrative styles *are* related to a number of faculty and student outcomes," a result they did not expect in view of "the widespread belief in academe that the president and other administrators have little power and influence." They believe that they have opened a field of inquiry to which more research, time, and resources should be devoted.

Certainly, as the authors point out, the size and relative homogeneity of the sample can only provide a threshold for additional study involving the complexity of other types and sizes of institutions.

Chapter 1, "Assessing Administrative Impacts," contains a description of the rationale and design for the study and a useful review of the literature of organizational behavior theory, including academic administration. Chapter 2 covers the profiles of 299 senior administrative officers, and provides an analysis of the highlights of their interests and disappointments.

Chapter 3 develops a typology of four presidential styles, derived from the profile data, while Chapter 4 follows the same pattern for "administrations" as wholes, identifying five kinds. In both, correlations are attempted.

The Impact of Leadership on Faculty and on Students are the subjects of Chapters 5 and 6. Behavior patterns are defined and correlations with the styles of presidents and administrations suggested.

Implications for practice are organized in six broad categories in Chapter 7. In the authors' view, these implications are "speculative," and an impressive number of unanswered questions are listed.

Finally, Chapter 8 makes proposals for change in college administration, emphasizing institutional self-assessment as an essential ingredient of effectiveness and a student-oriented approach to administration and planning as a central goal.

The references are abundant, a working index is included, and the chapter summaries help the reader in establishing continuity of procedure and theme.

32:2.0/80-3

Presidential Search: A Guide to the Process of Selecting and Appointing College and University Presidents, John W. Nason, 91 pp. (Association of Governing Boards of Universities and Colleges, Washington, D.C.).

This booklet does not tell us very much about the theme of this chapter of the bibliography, Leadership and the Presidency; but as a useful and complete handbook on the formal presidential search,

there are implications for the subject of leadership since every institution is looking for a "leader." Many critics question the wisdom of the current fashion of formalizing the search process through legislative and "representative" bodies, with the many abuses and misuses that arise from the practice. However, the text gives the pros and cons of the argument and also describes the formal search process and the means of guiding its activities. Presidential candidates will also learn what to expect when being asked to submit to the process. The booklet contains a bibliography on many aspects of the subject.

Presidential Assessment: A Challenge to College and University Leadership, by John Nason, is a companion piece and is also published by the Association of Governing Boards of Universities and Colleges. The organization pattern for evaluation is similar to that recommended for the *Presidential Search,* and those who believe that the formal evaluation process is desirable will find here a useful resource.

32:2.0/80-4

Presidents, Professors and Trustees, W. H. Cowley (Donald T. Williams, Jr., ed.), 260 pp. (Jossey-Bass, San Francisco).

The writing of this book, according to the editor, was a lifetime occupation of Professor W. H. Cowley, whose long career as a student of higher education at Stanford and elsewhere is widely known and respected. The book has been published posthumously and is undoubtedly incomplete, representing only part of the whole that Cowley hoped to present. Nonetheless, it stands in its own right as a solid reflection of Cowley's thinking about academic government and administration.

From its title and the listing of the chapters, one may infer that the book is a broad view of university government. Throughout, however, the commentary is infused with a stress on the importance of leadership, although only one chapter deals specifically with the presidency. That chapter is a keynote.

Cowley is at his best in puncturing "historical myths and fallacious conceptions of the nature of American academic government"; but the tone of the book is positive and forward-looking.

Two-thirds of the commentary is historical, one-third descriptive and analytical. They are not separated, however. In each topic, history and contemporary concerns are interwoven.

The chapters are 10 in number: "The 'Free Republic of Scholars'," "Trustee Responsibility," "Presidential Leadership," "Faculty Authority," "Student Voice," "Alumni Participation," "Association Influence," "Philanthropic Impact," "Governance Involvement," and "Conflict and Interdependence in Academic Government."

The references are numerous and, although they predate 1968, are useful to the student of the general subject. A great many of them are to periodical literature.

See also: **29:2.4/80 Surviving the Eighties: Strategies and Procedures for Solving Fiscal and Enrollment Problems, Lewis B. Mayhew.**

Lewis Mayhew believes that the combination of rising costs and shrinking enrollments spells trouble for all academic institutions in the decade ahead. He also believes, however, that the situation is far from hopeless, and his new book sets forth, as the subtitle says, strategies and procedures for solving fiscal and enrollment problems.

The book is more than the title indicates, however. It is not only a strategy for institutional survival; it is strategy for leadership. He has much to say about the role of the president in Chapter 3, "Enhancing Administrative Leadership"; but throughout the text, he emphasizes the key role of the president, his capabilities for leadership in the trying and complex situations that all institutions must face. He takes note, too, of the problems of leadership amid the plethora of limitations on freedom of action and the restrictions upon both choice and procedure.

An interesting approach throughout is found in the author's use of examples to propose what ought and what ought not be done. Many case histories of each type are given in detail, illustrating inept as well as effective leadership.

Mayhew is a reliable guide. As he says in the preface, over 30 years of study and experience have gone into the writing of this book. In addition to his own respected research on many phases of the subject, he has extensively studied the research of others and has a phenomenal acquaintanceship with the bibliography of higher education.

Specific topics in the book include improving administrative structures and policies, managing crisis and developing management systems, planning for the future, identifying and emphasizing a distinctive educational mission, upgrading recruitment procedures, maintaining enrollment, increasing faculty performance, and controlling program and faculty costs.

The book has to do with survival in the 80s, but in philosophy and in the long view there is much more here than survival. The Mayhew prescription will go beyond the 80s.

32:2.0/79-1

The Effective Administrator, Donald E. Walker, 208 pp. (Jossey-Bass, San Francisco).

This examination of university administration, written by an experienced president, is intended for practitioners (particularly presidents) more than scholars or theoreticians and deals primarily with internal governance.

The opening chapters describe characteristics of effective and ineffective administrators, and spell out the peculiar nature of colleges and universities as well as the political realities of the campus. Chapters cover stimulating leadership in an "active-inactive" environment, decisionmaking, and problem solving. The later chapters deal almost exclusively with the roles and leadership styles of presidents.

The central thesis holds that the most effective administrators perceive the university largely operating as a political democratic community. As such, Walter believes that individual leaders are regarded as expendable by university constituencies, and that this attitude is a real influence on administrative styles, perspectives, and problems. He considers the aim of style is "to make conflict creative and productive for the institution."

Walker's final chapter offers practical observations or "axioms" for colleagues seeking practical advice for the everyday realities of their jobs. Although the admonitions are broad and generalized, they are of interest to presidents and students of the presidency.

The book concludes with an excellent bibliography for the reader who wants to pursue the subject more in detail and includes many periodical references.

32:2.0/79-2

Leadership Vitality: A Workbook for Academic Administrators, David G. Brown, 93 pp. (American Council on Education, Washington, D.C.).

The premise for the workbook and the Leadership Vitality Conference described is that professional vitality is best promoted by sharing information with colleagues in professional groups. Drawing upon remarks from over 50 college and university presidents and chief academic officers who participated in the project sponsored by Carnegie Corporation of New York and the American Council on Education, David Brown offers a workbook designed for college and university executives who seek new ideas concerning institutional renewal, self-improvement, and revitalization.

The workbook is principally a compendium of quotations on leadership from educational administrative leaders. Chapter headings

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are: "Decision-making Principles," "Implementation Strategies," "Revitalization Strategies," "Leadership Profiles," and "Professional Renewal Strategies." Appendix A is the interview guide and questionnaire used by interviewers to collect responses. Appendix B is a list of hypotheses, from both letters and literature, on the qualities of an effective leader.

The author's purpose is not to describe good leadership, but to indicate how to develop it. Questions are listed at the end of each chapter. It is hoped that by seeking answers to these questions and carefully considering the many quotations, the reader will extract helpful suggestions, clarify personal values, and discover one or two implementation strategies for personal and professional leadership development.

Chapter 6 is further enlightening in describing how comparable leadership vitality projects may be organized.

See also: **30:1.0/78 The Art of Administration**, Kenneth E. Eble.

Eble writes from a background of 25 years of experience as a university professor and administrator. He presents a handbook for administrators, particularly for those who are entering administration for the first time. Although he does not deal with the presidency, he stresses leadership as a quality to be sought in all administrative tasks.

The overarching premise of the book is that "the harmonizing of the ideals of serving and leading is no less important than the daily carrying out of the acts that both serve and lead." Eble contends that all administrators share the responsibility both to serve and to lead. He conceives of administration as an "art," as it deals with the complexities and subtleties of working with people, the skill and sensitivity necessary to doing it well, and the fulfillment of one's vision largely through other people.

Eble's examples are drawn from the academic side of administration. He attempts to keep the details of administrative functioning in close touch with scholarship and learning. The first five chapters focus on administrative details, whereas the last chapters focus on getting the most out of people. Chapter 10 deals with the administrators' paradox of serving and leading. An extensive bibliography is provided.

32:2.0/78-1

The Contemporary College President: Pressures and Challenges, Sandi Ralston, ed., 57 pp. (American Association of State Colleges and Universities, Washington, D.C.).

The papers in this booklet were selected from those presented at the 1977 Summer Council of Presidents of the Association. The authors are Presidents Henry L. Ashmore, Armstrong State College; Clare S. Mackey, Texas Tech University; James Bond, California State University, Sacramento; Arliss L. Roaden, Tennessee Technological University; John A. Marvel, Consortium of State Colleges and Universities of Colorado; and James A. Robinson, University of West Florida. Although the views expressed come from the heads of institutions that have many common characteristics, the commentary has relevance for institutions in other categories.

The first four papers deal largely with problems and pressures upon presidents. The titles are suggestive: "The College President — 25 Years Ago and Now," "Pressures on the Presidential Family," "Strategies for Coping," and "Remaining an Academic Leader and Being President." They stress the negative aspects of the job and realistic ways and means of "coping."

Opportunities and challenges beyond mere coping are the themes of the last two papers: "Role of the Chief Executive in Institutional Self-Renewal" and "On Leadership and Management in American Colleges and Universities." They deal with the requirements for institutional self-renewal and the premises for continuing leadership, emphasizing that delegation is not abdication of authority and responsibility. The importance of leadership at different levels and how and when presidential leaders enter the process of making decisions is emphasized. The indices for leadership self-evaluation are much to the point. Trends and conditions are put into perspective.

The handbook provides a compact and insightful analysis of the contemporary presidency and constitutes a useful handbook of the ways and means of attaining leadership. The informal and anecdotal style of oral discourse makes for interesting as well as stimulating reading.

32:2.0/78-2

Policy Making and Effective Leadership, J. Victor Baldridge, David V. Curtis, George Ecker, and Gary L. Riley, 290 pp. (Jossey-Bass, San Francisco).

Believing that leadership patterns and management styles in colleges and universities are not as well known as people believe, the authors describe major developments in academic management and

governance, including faculty roles, styles of administrative leadership, functions of policymaking bodies, the efforts toward unionization, and the control by state systems. They also expand the traditional organizational theory and apply it to colleges and universities.

The book is based on findings of a research project conducted at the Stanford Center for Research and Development in Teaching with grant support from the National Institute of Education (1970-1974). The central findings in the area of policymaking and effective leadership are data based.

The authors believe that expertise is more important than ever for the administrative leader. Further, recognizing that the leader is no longer one person, central leadership increasingly amounts to the ability to assemble, persuade, and facilitate the activities of knowledgeable experts. The classic leadership theory was based on a bureaucratic model and suggested the image of the "hero" and the use of scientific management processes. After completing the study, the authors suggest that the leadership image should be that of the academic statesman, while the management process should look more like strategic decisionmaking instead of scientific management.

The book deals with much more than leadership, yet it is recommended for practitioners, scholars, and students alike, for the authors very adequately outline the situation that a leader in academia finds today. They emphasize that one should understand that situation if he is to establish a leadership position within the organization. The authors doubt that college and university presidents are as impotent as Cohen and March (1974) suggest, but they do recognize that environmental, financial, and institutional forces have combined to make presidential power and leadership more complicated and limited.

32:2.0/77

Leadership for Higher Education: The Campus View, Roger W. Heyns, ed., 206 pp. (American Council on Education, Washington, D.C.).

The papers in this volume were contributed by 31 prominent spokesmen in higher education at the 59th Annual Meeting of the American Council on Education, October 6-8, 1976. They were edited by Roger W. Heyns, then president of the Council.

The commentaries were problem oriented and had to do with "leadership work," that is, the current main streams of institutional action for effectiveness. All of them are campus oriented, as the subtitle of the book indicates.

The first three essays deal with the presidency and leadership and are by experienced and noted leader-administrators: Theodore M. Hesburgh, C.S.C., "The Presidency: A Personal Manifesto"; Terry Sanford, "Cooperative Leadership"; and Harold Howe II, "The President's Role." While each paper delineates pragmatic approaches to problem solving, and thereby deals with the context for leadership, the segment on the presidency and leadership are particularly central to the theme of this section of the bibliography. Personal and informal in style, because of the occasion for which they were prepared, the comments have a philosophical turn as well as realistic base. Some of the subtitles in the three essays are "Administrative Principles," "Pleasing Each Constituency," "Concern for Students," "Departmentalization," "Financial Needs," "Presidential Problems," "Missions and Goals," and the "Future of Leadership."

32:2.0/74-1
The Changing Role of the College Presidency: Essays on Governance, Sandi McLean, ed., 25 pp. (American Association of State Colleges and Universities, Washington, D.C.).

The four papers here published were chosen from the presentations made to the 1973 Summer Council of Presidents of the American Association of State Colleges and Universities. While viewing the topic generally, the authors speak from different perspectives: the head of a complex of state universities, the head of a state system of universities, the vice chancellor of a state college system, and the senior vice president of a comprehensive state university. At the time, John T. Bernhard was President of Western Illinois University; William C. Friday, President of University of North Carolina; Gary D. Hays, Vice Chancellor for the Minnesota State College System; and Stanley O. Ikenberry, Senior Vice President, Pennsylvania State University.

All four statements deal with the major components of the presidential role in their respective settings. They have much in common, although the differences are also readily apparent. After delineating the over-reaching issues and problems that directly confront the president in unique ways, all make an effort to look at ways of exercising stronger leadership in the future. Stanley Ikenberry speaks for the group, "Never before has the opportunity for presidential leadership been greater."

32:2.0/74-2

Leadership and Ambiguity, The American College President,
Michael D. Cohen and James G. March. General report
prepared for the Carnegie Commission on Higher Education,
270 pp. (McGraw-Hill Book Co., New York).

This study is basic to any serious examination of the American
college presidency. Data based, it will be a point of reference for a
considerable period of time, like Harold Stokes' *The American Col-
lege President* (Harper & Row, New York, 1959).

The data are selected from a survey of 42 baccalaureate institu-
tions. A lengthy questionnaire was the basic instrument, sup-
plemented by interviews with presidents, their associates, and other
observers. The size of the sample has been criticized as too small to
reflect a broad view or perhaps even to be considered a fully represen-
tative group. Nonetheless, insofar as it accurately portrays the
presidencies involved, a significant segment of the over 1,000 bacca-
laureate institutions is presented.

The authors state that they set out to examine "the job, the peo-
ple who occupy it, and the interaction between the two." They con-
clude that the American college or university "belongs to a class of
organizations that can be called organized anarchies," the class not
being limited to educational institutions. Apparently the term is a part
of the jargon of management studies, as the authors undertake to
make "some rudimentary attempts to develop a theory of organized
anarchy." It is their view that such institutions do not respond "to the
axioms and standard procedures of management."

A lengthy abstract of the main theses, findings, and conclusions
of the book has been made by Lewis B. Mayhew and is included in his
book, *The Carnegie Commission on Higher Education*, 1973, pp. 232-
242 (Jossey-Bass).

Beyond the introduction, three of the eight chapters of the book
are given over to information *about* presidents, including their pre-
professional careers, their images of their job, and their tenure. Two
chapters deal with the logic and processes of presidential choices in
decisionmaking. The organization of time is another subject. Two
chapters deal with leadership, identifying the tactics for success, the
differing concepts of leadership, and the means of attaining it.

The authors say that "where the data are thin, we have tried to
speculate; where the data are thick, we have tried to attend to them."
The speculations are quite controversial among informed observers
and certainly do not reflect a professional consensus.

One conclusion of the book would be comforting to all in-
cumbents, namely, that whether or not the university may survive

another 10 years, the outcome does not much depend on the college president. Unhappily for presidents, histories of institutions do not bear out such an easy, if not biased, assessment.

32:2.0/70

Profiles of American College Presidents, Michael R. Ferrari, 175 pp. (Board of Trustees of Michigan State University, East Lansing).

This relatively small book provides a great amount of information about college presidents as a group. The author received 760 responses to his questionnaire from the heads of a representative sample of institutions in the United States. Fifty-six tables are included in the main text and 13 additional tables appear as appendixes. Few conclusions are drawn from the data, although undoubtedly enough information is provided for a good many additional studies.

The study was undertaken as a doctoral dissertation and revised for the purposes of this more general publication. Beyond the findings listed, implicit in the commentary are a good many comparisons with other occupational heads.

The foreword states the kinds of questions to be answered: Who would want the job? What kind of men and women occupy this difficult position? Why are they there? What are their origins and background? What kinds of careers have led to their accepting election to the college presidency? Do they themselves perceive their jobs as difficult and beyond the demands they can fulfill in administering the affairs of their institutions? Do they themselves see their jobs as being in a lower circle of an inferno?

The author tells us that the research had three objectives: (1) an accurate analysis of the career patterns, occupational mobility, and social-personal characteristics of presidents; (2) cross-comparisons of these presidents on the basis of types of public and private institutions; and (3) intensive comparisons of the careers of academic presidents with the careers of business and government executives.

After the introduction and historical development of the position and the identification of what the author calls "an important occupational elite," the data are organized around geographical origins, family influences, educational background, career patterns, career perception, and career comparisons.

While the book tells us much about presidents—their mobility, their opportunities, as well as their own perceptions of their work—the book also tells us indirectly a great deal about the society whom these men and women serve.

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32:2.0/67-1

College and University Presidents, Recommendations and Report of a Survey, New York State Regents Advisory Committee on Educational Leadership, James R. Perkins, Chairman; Staff: John K. Hemphill and Hubbard J. Walberg; 73 pp. (Cornell University, Ithaca, N.Y.).

This report has creative educational leadership and innovation as a central theme. Faced with growth in size and number of institutions in New York, with new problems and complexities, and with the conviction that the president's role is crucial amid conflicting forces, the New York State Regents formulated the survey and asked 14 citizens, including educators and distinguished laymen, to make up a committee to survey the presidents in office. A primary objective was to determine how the presidents felt their effectiveness could be improved. The emphasis of the study was on leadership and the leadership role of the president. The work was conducted in 1967, but many of its findings and recommendations are applicable to the contemporary scene. Although the responses were from leaders of New York institutions, the size, number and variety of that group cannot be considered unrepresentative of many other regions of the country.

The staff received a total of 180 responses from a survey instrument having 98 multiple choice questions. The questionnaires were supplemented by 32 interviews and a large number of detailed activity logs for a week in the life of each respondent. Finally, confidential ratings of the presidents were made by a group of 10 people who were selected for their wide knowledge of the people and the institutions and their expertise in understanding the role of presidential leadership.

The findings are organized around four headings: (1) the Position of President, (2) Background and Preparation, (3) Effectiveness as Measured by Road Blocks and Successes, and (4) Recruitment and Selection.

Six main recommendations were made by the Committee, each with a number of subdivisions: the organization of the office of the president, including adequacy of staff, means of appropriate delegation of tasks, and effective orientation; the president's working relations, with emphasis on the president's not only representing a consensus but having the duty to seek to change it with all constituencies; increasing the quality and number of candidates; recruiting and selecting presidents, with emphasis upon the careful analysis of each institution's needs, and using all appropriate sources for nominations; the induction of new presidents and the importance of orientation; and determining what the state can do in providing continuing study and assistance.

The survey was largely an empirical one, with a gathering of objective and quantitative information. The responses of presidents were, of course, in many instances subjective and not susceptible to evaluation. Nonetheless, the report remains a useful study of the expectations for leadership and the importance of the role of the president in achieving institutional effectiveness.

32:2.0/67-2

In Search of Leaders, G. Kerry Smith, ed., 300 pp. (American Association for Higher Education, Washington, D.C.).

This volume reprints 52 selected papers from the 1967 National Conference on Higher Education, sponsored by the Association. The title of the volume was the theme of the Conference.

Viewing higher education broadly, the essays deal with a variety of subjects, all of them calling for leadership for improvement in the areas of topical interest. They are tied together by the concept that leadership in all aspects of national life "must come from our colleges and universities. They are the institutions where old values and new theories are put to the tests of study, inquiry, and debate. They serve as seedbeds of social change and as fountainheads of conservatism., They are unique reservoirs of talented human beings. Some campuses may mirror the tensions and issues of the moment; others may try to transcend them. But however they approach their commitments to instruct the young, advance the search for truth, and serve the common good, all institutions of higher education are involved constantly in the search for leaders." (From the foreword.)

The essays are aimed at discovering and nurturing leadership, with attention to the imperatives and difficulties involved. They are addressed both to educators and to laymen, the latter to get "a better sense of the vast scope in many functions of the academic enterprise."

The roster of authors contains the names of many distinguished scholars, writers, public officials, and educators. Although the remarks were given over 10 years ago, most of them are relevant to the current scene and reflect the present broadly expressed need for leadership in all segments of American life.

From among the authors, those who spoke most directly to the theme of the Leadership and the Presidency were: Nevitt Sanford, "On Filling the Role and on Being a Man"; Jack Gibb, "Dynamics of Leadership"; John W. McConnell, "Autocracy Versus Democracy in Top Administration"; Miller Upton, "Acceptance of Major Curricular Changes"; Samuel Gould, "Leadership in a Time of Educational Change"; Edward Eddy, "The Student Views the College Administrator"; and Forest Hill "The Faculty Senate and Educational Policy-Making."

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The papers are grouped around seven headings: Part I — The Quest for Morality, with an opening essay by Barbara Tuchman; Part II — Enlarged Responsibility; Part III — Approaches to Leadership; Part IV — Broader Visions of Leadership; Part V — Student Potential; Part VI — Specific Areas of Leadership; and Part VII — Joining Forces.

32:2.0/62

The Academic President — Educator or Caretaker?, Harold W. Dodds, 294 pp. (McGraw-Hill Book Co., New York).

This book by the longtime president of Princeton University is a part of the Carnegie series on American education, and though it falls outside the decade prescribed as the boundaries for the selections in this bibliography, it is included, because, along with the *American College President* by Harold Stoke (Harper & Row, New York, 1959), it remains basic reading for anyone interested in Leadership and the Presidency as candidate, encumbent, or scholar. It is as fresh and applicable now as upon publication. A more appropriate subtitle would be "Leader or Caretaker," as the author really deals with the educator as leader in his own institution.

Dodds states that "the college presidents at work...differ as widely as the shapes of their heads" and that generalizations cannot be definitive. The requirements, too, are as varied as the institutions. Nevertheless, he recognizes that among the requirements there are some constants and that the truly successful presidents have had certain attributes in common. Indeed, his list coincides with the prescriptions of search committees in our time. He defines leadership as the capacity to elicit "confidence of faculties and thoughtful laymen, and a gift for sustaining a climate of intellectual inquiry and a zeal for quality."

The author writes from the point of view of a practitioner, making no effort at quantification or statistical analysis. His observations, however, are not based exclusively on his own administrative experience. In preparing the book with associates, visits were made to 60 colleges and universities and innumerable interviews were conducted as a part of the field work.

The style of the book is descriptive and expository, but specific instances and quotations make a very readable text. Anecdotes abound. He identifies and analyzes the tools that the president uses in exercising a leadership role. Hence, while the overall tone is objective, the whole is infused with the wisdom of a lifetime of successful experience in the field, supported by the views of respected scholars and observers. He grants that his prescription is cast in terms of an ideal president, but he is not at any time unrealistic. The main topics are:

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the Setting of the Presidency, Academic Leadership, the Art of Administration, the Realm of the Faculty, Planning, Fact Finding and Budgeting, Supporting Activities, the Domain of the Trustees, and the Selection of a New President.

There are, of course, contemporary aspects of these topics and some other concerns that are not anticipated, such as unionization, representational search committees, and student participation in governance; but the book provides a solid background for a study of the presidency today and particularly the leader-president.

3.0 LEADERSHIP IN ACTION

32:3.0/80-1

Being Lucky: Reminiscences & Reflections, Herman B. Wells, 493 pp. (Indiana University, Bloomington).

The years of Herman Wells' presidency of Indiana University, 1937 to 1962, coincided with a period of dramatic growth and change in higher education generally. In many ways, Indiana University was a prototype of what happened in other universities of comparable mission and character.

The first main section of Wells' book deals with "Preparation for the Presidency." Here, Wells recounts family background, early professional experiences, and the "set of fortuitous circumstances" that led to his appointment as acting president, then president, of Indiana University, at the age of 35.

The section on the presidency itself begins with two chapters that might be identified separately as essays on administration. Although they contain numerous references to Indiana, they have broader applicability. The chapters on financial needs, relationships with the private sector, fundraising, academic freedom and tenure, student and alumni relations, community relations, international programs, and academic ferment constitute a case history in the administration of a growing, thriving, complex, public university.

The last main division of the book has 12 chapters grouped under the title "National and International Service." Here one sees the traveler's growing realization of the relationship between education and world affairs, and ways to translate that interest onto a campus in diverse ways.

Being Lucky will be extremely valuable to future historians of Indiana University. Of broader interest are the historical sketches, written from the vantage point of a participant, of Education and World Affairs, the Carnegie Foundation for the Advancement of Teaching, the American Council on Education, several international

associations, the Education Policies Commission, and the roots of Public Television.

The college and university presidency is currently the subject of study by experts in management theory and in social behavior. Most studies based on biographical data, interviews, and even on authentic biography fail to reveal the unrecorded events and the subtleties of personal relationships that determine the ultimate achievement of a president in influencing his institution. Too, they cannot measure the intangibles that are the essence of accomplishment in a leadership role. The Wells book is a basic source for any serious study of the history of the period or of the presidency.

32:3.0/80-2

The Test, Walter Adams, 240 pp. (MacMillan Co., New York).

The Test is an unusual if not unique book. It is a detailed, intimate, and revealing account of the day-by-day experiences of an acting president of a major university in a crisis period. Professor Adams had decisively removed himself from consideration for the presidential appointment and regarded his role as "holding things together" while the final choice was made and while the university struggled with the threat of cataclysmic student rebellion, an unprecedented strike of nonacademic employees, and the political crosscurrents associated with these issues. Thus, the book is a case history of a series of dramatic episodes in the midst of uncertainty in all directions.

Professor Adams approached his task with candor, courage and a dedication to institutional welfare beyond all other considerations. In so doing, he gives us a picture of leadership in the handling of a unique situation with overtones that merit consideration for different times and settings.

Professor Adams apparently had the personal qualities and style required to inspire credibility in all of the confronting constituencies—the students, the faculty, the alumni, the trustees, the politicians, the press, and the public. That he was successful in gaining the approbation of all elements in this maelstrom makes a suspenseful story as fascinating as fiction. The book has a literary quality that makes for a compelling narrative.

The main topics are contained in the chapter titles: "The Stage is Set," "The White Radicals," "The Black Militants," "The Moderate Majority," "The Outside Agitators," "The Apostles of Neutrality," and "The Guardians of Excellence."

The last chapter, "Holding Things Together," recounting both procedures followed and the characteristics of style in personal rela-

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tionships, are worth noting in any inventory for leadership in any situation.

The book is not a "study" in the ordinary sense. There is no bibliography or index. It is not a formal report. It is a narrative account, a kind of expanded day-by-day diary of the happenings in the short tenure of an acting president. Some of his views are controversial, but they are worth hearing. While what works in one crisis may not work in another or in a long term, the book is provocative and stimulating. It is also a human document, albeit one man's view of the management of the university and its bureaucracy.

32:3.0/73

Eye of the Hurricane: Observations on Creative Educational Administration, Warren Barr Knox, 147 pp. (Oregon State University Press, Corvallis).

The Eye of the Hurricane is one of a series of studies in Education and Guidance sponsored by Oregon State University.

The book is a collection of 15 essays, each making its point without thematic continuity to the others. The style is informal, in the tradition of essay writing, and the text is an unusual combination of whimsy, satire, witty observation, and, of course, much serious commentary.

The author's territory is "The Kingdom of Academia," which he defines as that sometimes "never-neverland of education from kindergarten to graduate school." In spite of this institutional spread, he is able to establish unity of approach by concentrating on the top position in each category and by following the premise that "the essentials of leadership and philosophy and attitude and humanness are strikingly similar."

The book has something for incumbents, for aspirants, for critics, and for trustee overseers. Its greatest value is in the wisdom and insight that are brought to bear on describing concepts and attitudes that every leader-administrator should hold toward his job. As he puts it, "Educational administration at all levels must be strong, positive, enduring, compassionate, firm, practical, and imaginative. These are not skills: they are human characteristics." In another place, he adds that the successful administrator must possess a combination of sensitivity, creativity, and the desire to lead.

The book is not "a collection of wisdoms" because judgments arise from consultation and circumstance. There are no universal admonitions. Nonetheless, the reader is impressed with the cumulative good sense that he perceives in the analysis of the duties and responsibilities of the administrator.

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Hartwick's enrollment was 300, Pacific University's, 1000. Both schools were church related and independent. The author narrates the continuing struggle for funds and the balancing of influences among trustees, donors, faculty, and students. The commentary is personal, with anecdotes involving a variety of people.

Much of the emphasis is on the president's role in procuring funds, making ritical park decisions, form'ng go:' for the small college, and succeeding in keeping the institution a "going concern." Ritchie's philosophy on the place of small schools in higher education, the role of the president in fundraising, the role of the trustees and their necessary financial commitment to the small school, and the limitations which confront a small school are the main topics covered.

The author devotes some space to pointing out the vital roles that others play in "staying up the president's hands"—the personal secretary, the director of development, the business manager, and other younger administrators who have ideas and energy. He also gives attention to the place of the president's wife in "town and gown" relations as well as in duties with students and faculty.

Although some of the experiences recounted may not be universal, the theme clearly reflects the accuracy of the subtitle: every college president can claim membership in "the Order of the Turtle." He adds, "One cannot move ahead, or make progress without sticking out one's neck."

32:3.0/70-2
My Several Lives, Memoirs of a Social Inventor, James B. Conant, 701 pp. (Harper & Row, Publishers, New York).

James B. Conant tells "the story of several lives and 10 or 12 inventions." The main strands in his account are his teaching and research in chemistry, his service as Harvard's president, his undertaking of several government missions at home and abroad, and his years as an evaluator of public education in the United States. Another dimension is woven into "the several lives," that of influential leader on the national higher education scene.

The reader may approach the book as a literary achievement in biography, as an important historical record in a crucial period in American history, or as an example of leade:ship in action in a university presidency. The subject of this reference is recorded in Part II, "A University President: The Depression Years," and in Part IV, "The Postwar Years at Harvard."

The Depression years and the Prewar period were times of unusual difficulty for colleges and universities, occasioned largely by forces from beyond the campus. They were also times of adjustment

and change within the university and were a true test of administrative leadership. Conant gives a vivid account of that test. In the chapters on the Postwar era the commentary centers on the Harvard Report, coeducation, benefactors and benefactions, the creation of the Educational Testing Service, the McCarthy encounters, the teaching of economics, and the quarrel over private schools. The context of the commentary, however, gives a picture of a much broader scene than these topics suggest, and of how Conant was involved.

The charter titles cannot be taken as adequate content description, but together they measure the nature and scope of the book. The book starts with   hway to Somewhere,'' followed by problem solving as a practicing art. ''Making Things Happen'' is a serious analysis of how things actually get done. The subject of ''Listening'' is an essay of substance, and very intriguing are the thoughts in ''Decisions Aren't Forever'' and ''Dusting Off the Old Character.'' The latter is an analysis of the kind of person that a search committee should really be looking for, in contrast with the criteria usually cited.

''The Teeth of the Gale'' and ''The Eye of the Hurricane'' should be read together. The latter, of course, describes an area of calm, the place the administrator should seek in the midst of the storm. Other titles are ''Wisps of Smoke,'' ''A Game Without Rules,'' ''The Myth of Moving On,'' ''The Legend of Loneliness,'' ''Wide-Angle Lensmanship,'' ''To Defend the Tower,'' and ''Challenges and Rewards.''

The book has many uses, but perhaps its greatest helpfulness is as an instrument of self-evaluation. Also to be noted are the affirmative tone toward education (although weaknesses of current practices are not overlooked) and the need for the rewards of the leader to be made visible. The summary theme is in the subtitle: Creativity is the essence of leadership.

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Libraries

Duane E. Webster
assisted by Maureen S. Schechter*

Academic libraries have become increasingly complex and challenging, demanding informed attention from institutional administrators. Important institutional decisions relative to budget allocation, physical plant development, curriculum and program planning, labor negotiations, and fundraising require some understanding of library operations. This understanding encompasses internal administrative policies and systems as well as major environmental or external issues that will influence the future development of local library resources.

This bibliography is intended primarily to provide administrators who are not library specialists with resources to enhance their awareness of the intricacies of library affairs and the requirements for making decisions and solving library-related problems. It is organized around seven broad categories.

Administrative Systems and Procedures. Marshalling the library's resources toward effective performance requires systems for budgeting and management information and procedures for policymaking, decisionmaking, and control. An important element here is the introduction of new technology and automation to improve library systems.

Management of Human Resources. Since libraries are labor intensive, the issues relative to supervision and leadership, staff classification, role of staff, and staff development have attracted considerable attention. The library's staff is a mix of highly professional staff and basic support personnel. The organization and management of a diverse service-oriented staff calls for models and experience that frequently extend beyond the academic setting.

Organizational Change. Extraordinary pressures exist to change and redirect the character of academic libraries. Technical advances, the continuing information explosion, increased user needs and sophistication, and inflation are familiar examples of these pressures. While libraries are faced with reduced buying power they also must meet demands for new and improved service. To the degree that these forces exist, it is not a matter of whether libraries will change but rather how they will change. This subtopic presents volumes dealing with methods, experiences, and resources to help manage the process of change.

Interinstitutional Cooperation. Libraries within the academic enterprise are invariably viewed as a logical place to gain the various benefits of successful cooperation and network development, namely: reduced costs, extension of resources, and improved services. These advantages of cooperation are countered by the difficulty of resolving the problems of governance, timely access to materials, user satisfaction, and document delivery.

Collection Management. This subtopic concerns collection development, preservation, assessment, and use in academic libraries. Most libraries' collections serve a variety of purposes—instructional, community service, faculty and student research, curriculum support, and recreational interests. These purposes shape the way book funds are allocated, items selected, and collections maintained and protected, as well as the success of these collections in meeting the needs of users.

Public Service. The issues of cost and effectiveness of public services are paramount as new activities are introduced and current services evaluated. The extent to which the library is successful frequently depends on the skill of the public service staff in relating the library's information resources to the several needs of user groups.

Bibliographic Control. A seventh category concerns bibliographic access to information resources. The single most expensive tool in the library is the catalog, yet it is frequently the most underused and misunderstood library resource. Automation and bibliographic utilities are giving libraries new ways to provide their users with access to local resources. Furthermore, the costs of maintaining traditional card catalogs, along with national developments with cataloging rules, are leading many libraries to introduce alternative catalog formats that are more easily maintained and offer greatly improved services for the user. The materials in this subtopic will explore national developments in this area as well as institutional efforts to accommodate these changes while extending the usefulness of bibliographic services.

TOPIC ORGANIZATION

33: Libraries

> **1.0** Administrative Systems and Procedures
> **2.0** Management of Human Resources
> **3.0** Organizational Change
> **4.0** Interinstitutional Cooperation
> **5.0** Collection Management
> **6.0** Public Service
> **7.0** Bibliographic Control

1.0 ADMINISTRATIVE SYSTEMS AND PROCEDURES

33:1.0/80

"**Library Consultants,**" Mary Ellsworth Mason, ed., *Library Trends,* Winter.

This issue of *Library Trends* is devoted entirely to the topic of using consultants in libraries. The purpose is to give guidance on how this use of consultants may be exploited for maximum benefit to the institution. A series of articles review when to use consultants, how to identify those who can really help, and how to use them effectively. They also present a range of the situations that are repeatedly confronted in libraries and how they can be dealt with through the use of consultants.

The potential roles and contribution of consultants in a variety of library situations is covered by Webster and Lorenz in an article entitled "Effective Use of Library Consultants." Roles described in-

clude objective assessor, technical adviser, organizational problem solver, staff trainer, and process counselor. The decision to use consultants is reviewed in terms of need, timing, types of consulting, cost, and selection process. The most valuable part of the paper concerns how to actually use a consultant, including the advance preparation required, the consultant contract, orientation for the consultant, working relationship, access to information, and dealing with the results of the consultation.

There is also an excellent paper, "Consulting on Academic Library Buildings," by Ellsworth Mason. He offers useful insights into what you can expect the building consultant to do for the planning group, the program, and development of floor plans. The bibliography provided will lead to other necessary help in planning library construction.

Other papers deal with consulting on computer applications for libraries, consulting on union management relations, and consulting on collection development. There is also a paper on trends for management consulting in the 1980's.

33:1.0/79

The Library Manager's Guide to Automation; Professional Librarian Series, Richard W. Boss, 106 pp. (Knowledge Industry Publications, White Plains, N.Y.).

While this work is intended to serve as a practical general guide for library managers with little knowledge of automation and its application to libraries, it will also prove useful to those outside the profession who want a better understanding of the potential for library automation.

The author begins with a discussion of the fundamentals of automation, which includes information on the various options available, basic computer concepts, and equipment, including minicomputers. He reviews the present state of library automation in five major functional areas: acquisitions, cataloging, serials, circulation, and on-line services. The author proceeds to examine future trends in several areas, including the technology itself, bibliographic utilities, procedures for communications among computers, regional computer networks, distributed processing by a bibliographic utility such as OCLC, record conversion from one system to another, videotext systems, and the automation of library office procedures.

The chapter on planning for automation outlines and explains the steps in the planning process and discusses the use of consultants and the advantages of cooperating with other libraries in a planning effort that may or may not result in cooperative implementation. This

is followed by a chapter on the implementation process and a chapter on the risks involved in automation of library operations.

The author has included a glossary of automation terms, a list of selected general readings, a list of sources for products and services, and a bibliography.

33:1.0/77

Library Budgeting: Critical Challenges for the Future, Sul Lee, ed., 111 pp. (Pierion Press, Ann Arbor, Mich.).

This publication is the result of a conference on no-growth budgets held at Indiana State University in 1976. The conference had three purposes: to review the history of library budgeting, to survey several approaches currently used, and to review the impact of current trends on library budgets. The seven papers presented in this volume provide an excellent overview of these topics. The first paper, entitled "Critical Challenges in Steady-State Financing: A Perspective," presents a careful analysis of the trends and developments in higher education, both past and present, in an effort to explain how it is that libraries have come to be in their present economic and political status.

The next paper, "Zero-Base Budgeting for Academic Libraries," examines the theory of zero-base budgeting, offering an explanation of how the system works and what its shortcomings and strengths are.

"Washington State Library Formula: A Case Study" reviews the formula for funding libraries in Washington State as a good example of the formulas now in use. The paper includes a number of charts showing how the formula is constructed and offers a detailed critique indicating some shortcomings of the formula approach.

The fourth paper proposes a new strategic plan or set of objectives for the future, looks at ways in which library decisions are made, and suggests new approaches. In "Decision Models, Performance Measures and the Budgeting Process," libraries are encouraged to take a cue from the business world and concentrate on strengths and cut back or drop little-utilized services if they are to sustain their level of excellence in a zero-growth environment. "The No-Growth Budget: Bitter Pill of Opportunity" examines the many examples of waste and misunderstandings that exist in relation to library goals and objectives, offering solutions to management problems based on an understanding of newer management techniques. This period of fiscal constraint is viewed as an opportunity and challenge to implement more efficient and effective management practices in order to accomplish more work with less staff.

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The next paper, entitled "Choices Facing Academic Libraries in Allocating Scarce Resources," looks at library decisionmaking and trade-offs in programs, and points up the need to avoid stagnation in an era of diminished resources.

The concluding paper, titled "The Impact of No-Growth Budgets upon Academic Libraries," examines trends in library management and operations in an era of declining resources, noting that one of the challenges in meeting the situation is to convince the library staff to accept it.

.The book includes a selective bibliography on budgeting. It focuses on the more recent books, articles, and other materials in this field. This work is one of the most frequently cited publications in the area of library budgeting, since it provides such a comprehensive overview of important issues. However, the university planner looking for specific guidelines or direct assistance in solving library budgeting problems will have to look elsewhere. The library literature possesses a number of how-to-do-it articles, and there are several important works related to formula budgeting. [e.g., Clapp, Verner W. and Robert T. Jordan, "Quantitative Criteria for Adequacy of Academic Library Collections," *College and Research Libraries,* Vol. 26, (September 1965), pp. 371-380, and Summers, William F. "The Use of Formulas in Resource Allocation," *Library Trends,* Vol. 23, No. 4, (April 1975), pp. 631-642.]; cost analysis [e.g., Leimkuhler, Ferdinand F. and Michael D. Cooper, "Cost Accounting and Analysis for University Libraries," *College and Research Libraries,* Vol. 32, No. 6, (November 1971), pp. 449-464. and Raffel, Jeffrey A. and Robert Shishko, *Systematic Analysis of University Libraries: An Application of Cost-Benefit Analysis to the M.I.T. Library,* Cambridge, Mass., MIT Press, 1969]; and current budgeting practices of academic libraries [e.g., ARL Office of Management Studies, "Review of Budgeting Techniques in Academic and Research Libraries," *ARL Management Supplement,* Vol. 1, No. 2, (April 1973) and "Problems of Austerity Budgets at Five University Libraries," in Association of Research Libraries, Minutes of the Seventy-Seventh Meeting, (January 17, 1971 pp. 29-45.].

33:1.0/73-1
SPEC Flyers and Kits, Association of Research Libraries, Systems and Procedures Exchange Center, No. 1-70, (ARL, Washington, D.C.).

SPEC was established in 1973 by the Association of Research Libraries' Office of Management Studies (OMS) in order to formally and systematically gather, analyze, and distribute information and

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descriptive materials on the innovative management techniques developed by academic libraries. The Center's objectives, as developed over the past 7 years, are: to regularly collect information and documents regarding current practices in specific areas of library management and operation; to make both the original documents and the Center's analyses available to the library community in a timely manner; to publish analytical state-of-the-art reviews on management topics; to identify library management expertise and facilitate its exchange; and to promote experimentation and innovation on the basis of what has succeeded elsewhere.

SPEC's resources come mainly from participating Association of Research Libraries (ARL) institutions. Several times each year, the Center conducts surveys that request information and documents on topics of current interest. Documents include procedures manuals, policy statements, planning materials, committee reports, brochures, forms, and other published items currently used by the libraries. While all documents are kept in the SPEC files for use in answering individual inquiries, representative materials are presented in the monthly SPEC flyers/kits.

There are several publications and services offered through the center that administrators should be aware of. The SPEC Flyer is a single sheet (two pages) which analyzes, from a management perspective, a particular current topic of interest to academic libraries. Flyers focus on major trends and issues helpful from a library administrator's point of view and often include summaries of SPEC survey results. The SPEC Kit is a collection of selected documents that represent current practices at ARL libraries. Each kit focuses on a specific topic and includes a SPEC Flyer that analyzes trends. Topics covered by these services in the last year include: Planning for Preservation (kit and flyer #66); Retrospective Conversion (kit and flyer #65); Indirect Cost Rates in Research Libraries (kit and flyer #64); Collective Bargaining (kit and flyer #63); On-Line Bibliographic Search Services (kit and flyer #62); Status of Librarians: An Overview (kit and flyer #61); and Library Materials Cost Studies (kit and flyer #60).

33:1.0/73-2

Economics of Academic Libraries, William J. Baumol and Matityahu Marcus, (American Council on Education, Washington, D.C.).

Baumol and Marcus report the results of their thorough analysis of the available economic data on college and university libraries. This analysis was done to provide necessary information on the economic

variables governing library operations. The value of this analysis to college and university administrators lies in their long-range planning for library operations in this period of retrenchment, in its usefulness in their efforts to forecast future financial needs, and in the assessment of the financial results for library operations when decisions are made concerning general institutional policy.

The book is divided into five chapters. The first chapter reports the results of Baumol and Marcus' analysis of growth rates in 58 large university libraries (a sample of 23 private and 35 public institutions). The economic variables studied were total enrollment, volumes held, volumes held per student, volumes added, volumes added per student, total personnel, professional staff, professional staff as percentage of total personnel, ratio of students to professional staff, nonprofessional staff, total library expenditures, expenditures per student, salaries and wages, salaries and wages as a percentage of total expenditures, book expenditures, and book expenditures as a percentage of total expenditures. Growth rates for each of these variables are presented in a series of clear, readable charts.

The second chapter describes the results of the authors' examination of the interrelationships among these variables. The third chapter describes the major trends in the costs of library operations and suggests the implications of these trends for long-range planning. The fourth chapter is a review of the data available for this study and an assessment of how it might be improved for the future. The final chapter is a summary of the results of the study and how these results can be used. Some of the key conclusions are: (1) growth rates of a number of critical variables were remarkably high; (2) smaller research libraries are growing faster than large ones; (3) the size of collections has not kept pace with the size of the student body; and (4) levels of operating costs are explained almost completely by collection size, level of acquisition, enrollment, and size of institution.

The value of this work is somewhat limited by the time span of the data used for analysis. It covers two decades during which higher education was relatively untroubled by financial problems. The approach and conclusions, however, are important for those administrators interested in economic analysis.

33:1.0/73-3
Research Libraries and Technology, Herman H. Fussler, 91 pp. (The University of Chicago Press, Chicago).

The Sloan Foundation commissioned this state-of-the-art report in order to relate technological development to some of the problems and objectives of research libraries. The author directs his observations to nonlibrarians.

The report begins with an inventory of the major recent studies of libraries and technology. The author describes these and adds his judgment of the significant findings produced by these studies. The key conclusion is that technology does exist for bringing about some basic improvements in the methods of access to recorded information. To secure the benefits of this technology, however, there needs to be significant investment of energy and money not only to apply the technology but to develop a climate of understanding, support, and experimentation that allows the successful use of new means.

Several chapters describe some of the relevant problems of libraries and suggest specific areas where the application of technology may be particularly beneficial. There is a chapter, for example, on library cost trends and total institutional costs, rates of library growth, the frequency of use of library materials, and related matters. Data on these concerns illustrate the directions that library operations are taking and the problems that can be expected in the future.

Subsequent chapters deal with bibliographical control and access, development and maintenance of collections, and daily operations of large research-oriented libraries. The author notes that the most difficult resource access and bibliographical control problems are found in the larger institutions, and the learning and advances secured here should have benefits for the smaller institutes.

The author then examines three of the most widely discussed methods for extending resources and managing local collection growth—shared resource systems, microforms and other photocopies, and the facsimile transmission of textual materials. Also, a variety of current library applications of computers are presented as case illustrations.

The final chapter encompasses the general observations and conclusions of the author. He argues that long-term responses to the problems of libraries will require a basic change in the concept and operation of these institutions. These changes are not entirely within the purview of a single library, but administrators and planners should be aware of the direction libraries need to take in order to maintain a viable contribution to the educational and research mission of universities.

33:1.0/71

University Library Administration, Rutherford D. Rogers and David C. Weber, 454 pp., (The H. W. Wilson Company, New York).

The authors, both of whom serve as directors of large academic research libraries, describe the various functions of academic library

administration at the university level. This book was designed "to provide librarians and other academic personnel with a current treatment of the more important issues of a university library."

Although this book was published in 1971 and focuses on the issues and problems of the late 1960's, it also addresses those that were then expected to occur in the 1970's and 1980's. It is the best and most comprehensive guide on this subject.

Each chapter discusses the administrator's role in a functional area. These include personnel, organization and communication, budgeting and fiscal management, book collections, technical processing, and user services. There are additional chapters on special materials, measurement and evaluation, automation, and building planning.

Two other books that serve as companions to Rogers and Weber are *The University Library* by Louis Round Wilson and Maurice F. Tauber (New York: Columbia University Press, 1956, and 2nd edition) and Guy R. Lyle's *The Administration of the College Library* (New York: The H. W. Wilson Company, 1974, 4th edition).

33:1.0/S

ARL Statistics, Association of Research Libraries, (ARL, Washington, D.C.).

This is the most widely recognized source of statistical information on large academic libraries in North America. It provides annual information on collection size and characteristics, staff size and characteristics, expenditures, and library use. While the compilation has changed in recent years with refinements that allow more effective use, the information is essentially a time series describing the characteristics of a select group of research libraries that belong to the Association of Research Librar es. The degree to which this information can be analyzed, compared, or used for management information purposes is severely limited by the inconsistent interpretation of definition and the variety of reporting practices used by the participating libraries.

Other data are provided by the National Center for Education Statistics, which collects information through the Library General Information Survey (LIBGIS). Academic libraries are surveyed on a biennial basis. As with ARL, NCES merely presents the data without evaluating its meaning and significance (U.S. National Center for Education Statistics, *Library Statistics of Colleges and Universities,* Fall 1975, Washington, D.C.: GPO, 1977).

The National Center for Education Statistics is working with the American Library Association to revise and update *Library Statistics: A Handbook of Concepts, Definitions and Terminology,* Chicago, Il-

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linois: ALA, 1966. This project may well lead to the improvements needed in the statistical reporting area.

Other items of interest in this area include: Machlup, Fritz, "Our Libraries: Can We Measure Their Holdings and Acquisition," *AAUP Bulletin*, Autumn 1966, pp. 303-307; Bentley, Stella, "Academic Library Statistics: A Search for a Meaningful Evaluative Tool," *Library Research*, Vol. 1, 1979, pp. 143-152; and Leach, Stephen, "The Growth Rates of Major Academic Libraries: Rider and Purdue Reviewed," *College and Research Libraries*, November 1976, pp. 531-542.

See also: 21:3.0/65 **Planning Academic and Research Library Buildings**, Keyes D. Metcalf.

This remains the definitive work on the planning and construction of academic and research library buildings. The author intended that this should serve as a practical guide for librarians, college and university administrators, architects, engineers, and library building committees or planning teams. Since few of these people have an opportunity for firsthand experience before they are called upon to contribute to the planning and construction of a building, Metcalf has designed this book to serve as a substitute for that experience. He cites the important problems that are likely to occur and suggests the elements to be considered in the effort to solve these problems.

The book consists of two major parts. Part I, entitled "Basic Information on Library Building Planning," contains 11 chapters. Among the topics covered are: the relation of the library's objectives to aesthetic considerations, construction, and cost; construction costs and financing; the modular system of construction; accommodations for users and staff; furniture and equipment; and basic construction and mechanical problems. Part II, "The Planning Process," is composed of six chapters, each of which deals with a phase of the process. Included in the appendixes are sample building programs, formulas and tables for determining space requirements, and a selective bibliography with annotations. There is a glossary and an index.

Other practical resources on the topic of library building are Ralph E. Ellsworth's *Academic Library Buildings*, (The Colorado Associated University Press, Boulder, Colorado, 1973), *Mason on Library Buildings*, (Scarecrow Press, Metuchen, N.J., 1972), and Aaron Cohen and Elaine Cohen's *Designing and Space Planning for Libraries: A Behaviorial Guide*, (Bowker, New York, 1979).

2.0 MANAGEMENT OF HUMAN RESOURCES

33:2.0/80.

"Governance and Academic Libraries," Page Ackerman, *Library Research,* Vol. 2, No. 3, pp. 3-28.

This paper reviews available research and publications concerning trends in academic library government within the context of the general characteristics and specific patterns of academic governance. The author examines the relationship of the library to the academic environment, noting the organizational characteristics of the library and the uniqueness of library goals, functions, and staff credentials. The patterns of academic library governance that exist are then described with particular emphasis on librarians' participation in institutional governance, internal library decisionmaking, and the librarians' function and criteria for evaluating performance. Some consideration is directed at the issue of faculty status for librarians and associated concerns of policy formulation, appointment and review of the library director, peer review procedures, and unions.

Changes are occurring, and the author cites the environmental pressures of growth in size and complexity, specialization, and technical sophistication as leading to the emergence of a new professionalism in libraries. As a result, administrators are working with library staffs to spread influence in policymaking within the organization. The author notes significant studies and development in this regard and describes reorganization, group process, and management skill training as major strategies currently employed by academic libraries.

This is the single best overview of the present situation in regard to the management of human resources in academic libraries. Administrators and planners will find it useful for background and for identifying sources of added information.

33:2.0/78

"Continuing Education for Librarians in the United States," Elizabeth Stone, *Advances in Librarianship,* Vol. 8, pp. 241-331, (Academic Press, Inc., New York).

The author, a member of the faculty in the Graduate Department of Library and Information Science of the Catholic University of America and a founder of the Continuing Library Education Network and Exchange (CLENE), explains the status of continuing professional education in the field of librarianship and describes the many activities that have taken place during the past 15 years to establish its importance for the profession.

She begins her article with a definition of continuing education and other related concepts. She goes on to describe the various factors that should be considered in the planning and design of continuing education systems. Of particular interest to an academic administrator is the section in which she discusses the roles and responsibilities of the various individuals and organizations in this process. Among others, Stone describes the responsibilities of the academic institution. These include: to provide educational programs at the master's, post-master's, and doctoral levels; to foster collaboration between librarians and other professionals on campus; to encourage the faculty to become involved; and to give financial support to continuing education programs.

Stone outlines the development and implementation of CLENE and describes its goals and achievements. She concludes with a look toward the future and a statement of her belief that it is "essential that the library profession begin now to develop the blueprints and devise the appropriate policies necessary to the systematic and intelligent provision of continuing education of America's librarians." A comprehensive list of further references is included.

33:2.0/73

Organization and Staffing of the Libraries of Columbia University: A Case Study, Booz, Allen and Hamilton, Inc., 210 pp. (Association of Research Libraries, Washington, D.C.).

This is a report of a study sponsored by the Association of Research Libraries aimed specifically at strengthening the organization and services at a member library (Columbia University) and, in the process of looking closely at the organizational concerns of one library, developing options and approaches that could be used as models by other research and academic libraries. The final report of the case study has proven to be a landmark publication that has greatly influenced management thinking in libraries during the seventies.

The report begins with an overview of current trends in higher education and their implications for libraries. These trends reflect the turbulent environment currently confronting libraries and bring into focus the pressures forcing these libraries to change their organizational structure and management approach in order to maintain a viable contribution to higher education. The report goes on to describe the libraries of Columbia University as they presently exist. These libraries reflected the traditional reader services/public services/departmental structure so familiar to academic libraries.

At the heart of the study are the changes recommended in the organization and staffing of libraries. The report recommends new

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management styles and new approaches in the use of library personnel. One of the central suggestions in the report is the restructuring of library operations around services, resources, and support activities. Each component is organized to meet the unique objectives and staffing requirements that exist in those program areas. For example, the service area is organized around the existing physical facilities and the needs of users to access and effectively use the information resources that exist in their subject specializations. The resources area is made up of highly skilled professionals who need to work closely with faculty researchers and students in developing the collection and helping these users understand the complex and delicate relationship that exists between the instructional and research programs of the university and the resources of the libraries. Finally, the support area is organized to produce the needed bibliographic records, systems support, and technical assistance that are so critical to efficient library operations.

Other important recommendations relate to the role of the libraries' chief executive officer; departures from the traditional departmental structure of libraries; a concept of three distinct levels of public services; the provision of new staff specialties in order to add new capabilities to library programs; the extension of opportunities for staff involvement in decisionmaking and policy formulation; the creation of new career patterns and classification structures that allow individual pursuit of professional, scholarly, or administrative interests; and the development of an organizational capacity for emphasizing classroom instruction, addressing preservation concerns, and ongoing library planning.

The number, variety, and significance of the ideas in this work make it required reading for those interested in alternatives to traditional library organizations. The value of this report centers around the stimulation it provides in problem-solving efforts in academic libraries. The recommendations are not meant to be copied, but the ideas can provoke fresh approaches to historical problems.

3.0 ORGANIZATIONAL CHANGE

33:3.0/80

"Research Libraries and the Dynamics of Change," Warren J. Haas, *Scholarly Publishing*, April, pp. 195-202.
——A variety of problems are forcing research libraries to recast organizations, bibliographic structures, and collection policies. This paper succinctly describes a turbulent environment which combines economic pressures with rising expectations of users for improved services from their research libraries. The author concludes that these

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forces are driving libraries into a revolution based on the new technology of computers and communication.

The paper argues for an intense and comprehensive review of the way research libraries work, both individually and collectively. The posture of waiting for these changes or accommodating change after it occurs may well result in lost opportunities and indefensible costs. The need for understanding, anticipating, and influencing these changes requires an executive perspective based on sensitivity, awareness, and willingness to risk making critical decisions.

Awareness of what lies ahead is part of what this paper provides. The application of technology to libraries, for example, is just beginning. To date, automation has focused on improving the efficiency of present functions and procedures. In the future, functions may be eliminated and procedure: recast. The relationship of libraries to publishers and the process for collecting, producing, and disseminating information is being examined with a good prospect for dramatic redefinition of roles and responsibilities.

The issues raised in this paper will shape the planning and development process of research libraries for the next decade.

33:3.0/J5
"Strategies for Improving the Performance of Academic Libraries," Duane E. Webster and Jeffrey Gardner, *Journal of Academic Librarianship,* May, pp. 13-18.

As academic libraries enter the 1980's with the prospect of continued financial constraints, rapid technological change, increased competition for both public and institutional support, demands from their users for different and enhanced services, and pressure from college and university administrators for greater cost accountability, they must find ways of coping, adjusting, and influencing their environmental pressures. One method designed to assist academic libraries of all sizes in dealing with these and other pressures for change is the Academic Library Program developed by the Office of Management Studies at the Association of Research Libraries. Libraries participating in the program use tested methodologies to study managerial and operational practices, focusing on workable recommendations for improvement.

Within the context of the program, a library chooses study modules that best deal with its current and evolving needs. The modules employ the assisted self-study approach, which recognizes that the library staff and administration are in the best position to gather and analyze information and make recommendations for change. This article describes the process by which the library receives

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onsite consultation, staff training, manuals, and other support materials as it conducts the study, which normally takes between 3 months and 1 year.

The benefits for a library going through a systematic study of this sort are numerous, many of them related to the library's intention and specific desired benefits. The self-studies allow a library to:

- Assess objectively and comprehensively its current situation and develop workable recommendations for change and improvement. This assessment can contribute to the regular accreditation effort, a parent institution's planning process, the library's efforts to introduce new services, or simply a periodic organizational review and renewal.

- Prepare a report that provides assistance with goal setting, planning, and problem solving at the library and campus-wide levels. This report has a number of applications in communicating the needs of the library and the library's future role in the instructional and research programs of the college or university.

- Develop and utilize the skills, experience, and expertise of all library staff, which benefits the library by improving analytical and problem-solving skills.

- Increase staff motivation and their ability to deal effectively with change on a continuing basis. Implementation of results is enhanced, since staff and faculty are integrally involved in the self-study.

- Improve faculty-library relations by securing a better understanding of faculty interests, perceptions, and expectations. In addition, the faculty becomes better acquainted with the library's capabilities and contributions to instructional and research programs.

A study of the effectiveness of the Management Review and Analysis Program was made by Edward R. Johnson and Stuart H. Mann in *Organization Development for Academic Libraries,* (Westport, Connecticut: Greenwood Press, 1980) under a grant from the Council on Library Resources. This study observed that over 90 percent of recommendations made as a result of this study were acted upon. Furthermore, the staffs in each library perceived a marked change in the abilities of the library to deal with issues of concern.

The self-study process has recently been adapted to the concerns of smaller academic libraries, the collection management function, and the preservation concern of academic libraries.

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33:3.0/70

Problems in University Library Management, Booz, Allen and Hamilton, Inc., 68 pp. (Association of Research Libraries, Washington, D.C.).

This study was done by the management consulting firm of Booz, Allen and Hamilton for the Joint Committee on University Library Management of the Association of Research Libraries and the American Council on Education. The study, begun in April 1969, was based on a review and analysis of the management of the libraries at six major universities, selected for their expressed interest, size, location, and the willingness and availability of their staffs to participate. Its purpose, as stated in the introduction, was "to identify opportunities to improve the ways in which university libraries plan and use their resources—collections, people, facilities and equipment, and finances."

The report includes a review of the trends in higher education and their implications for library management, an assessment of management problems, recommendations for improving university library management, and a guide for a plan of action to implement these recommendations.

The problems identified included: (1) the need for more comprehensive library planning and budgeting systems; (2) the need for improved library statistics for use as tools to determine the cost and effectiveness of library programs; (3) the need for standards to measure and control the flow of work in library operations; (4) the need to strengthen the service delivery capacity of university libraries through improved organizational structures; and (5) the need for improved training programs for equipping librarians to be more effective managers.

4.0 INTERINSTITUTIONAL COOPERATION

33:4.0/80

"Research Libraries in the Network Environment: The Case for Cooperation," Patricia Battin, *Journal of Academic Librarianship,* May, pp. 67-73.

This is a concisely written and provocative essay on the dilemmas facing managers of research libraries. The author, who serves as the University Librarian at Columbia University, argues that the combined impact of the publication explosion, rapid inflation, and dramatic developments in communication and computing technology has called into question the traditional assumption underlying the operations and organization of the research library. The key assumption that deserves rethinking is the notion that contemporary research

library services can be successfully developed within the context of an autonomous institutional structure. The author points out that radical changes in library service are imminent and that with their arrival the relationship among research libraries, their users, and external organizational programs and capabilities will require redefini.ion and innovative ideas for improvement. She concludes by describing the "new realities" of the current environment, namely the dependencies that exist among research libraries, the erosion in the Library of Congress's ability to serve as a national library, the disastrous preservation problems of major collections in this country, and the rapid changes in the world of publishing and the process of scholarly communication.

The key to success, according to this author, is development of program–based consortia that go beyond shared cataloging, shared resources, shared access to collections, and the traditional goals of cooperative activity. The consortium of the future needs to address and help resolve the problems research libraries share in common, namely, the problems of collection development, management, preservation, and access.

33:4.0/79

"From Monopoly to Competition: The Changing Library Network Scene," Richard De Gennaro, *Library Journal,* June 1, pp. 1215-1217.

The author describes the development of computerized library networks and the events that have led to intense competition among them. He discusses the benefits of this competition and suggests that it may lead to cooperation among the various networks and serve as a positive force for change. Particular attention is paid to the competition that currently exists between OCLC, the first of these bibliographic utilities, established in 1971, and RLIN (Research Libraries Information Network), created in 1978 by the merger of two networks, RLG (Research Libraries Group) and BALLOTS.

De Gennaro presents some of the issues posed by library networking and encourages librarians to begin to address them. Networking is a fairly new development in the field of librarianship. It is, therefore, too soon to resolve such questions as: "How can regional cooperative networks like AMIGOS (Texas, Arkansas, Oklahoma, New Mexico, Arizona) and PALINET (Pennsylvania Area Library Network) keep from becoming merely subsidiaries of OCLC for marketing and training?" "How can research libraries join RLG and still continue to play a vital role in regional cooperative networks?" "Is it desirable that there be a number of networks in the country, or would it be preferable to permit or even encourage OCLC, Inc. to turn

its present commanding lead into a permanent monopoly?" He suggests that the best course of action would be to "encourage variety, competition, and cooperation among the networks and among the commercial vendors of library and information services and products.

33:4.0/78-1

Library Networks, Susan K. Martin, 144 pp. (Knowledge Industry Publications, White Plains, N.Y.).

This is the second revision of a work that was first published in 1974. The author, who currently serves as the library director at the Johns Hopkins University and who is well versed in this subject, provides an excellent overview of the recent developments and activities in on-line bibliographic networking among libraries. This work will serve as a good basic introduction for academic administrators.

Martin provides information on the organization and current programs of the major library network computer utilities, commercial vendors of computer systems and services, and the problems and issues that remain unsolved in networking. She discusses plans for a national library network and the means for combining traditional library cooperatives with these modern computer-based systems.

The appendix lists 26 on-line networks that existed at the date of publication and provides information as to the location, member libraries, status, and future plans. A list of further readings is also included.

33:4.0/78-2

"The Major Research Libraries: Strengthening a National Heritage," Research Universities and the National Interest: A Report from Fifteen University Presidents, pp. 89-107. (Ford Foundation, New York).

It has become increasingly clear that national, regional, and local scholarly activities require the existence of comprehensive research library collections. These resources and their importance to society are described in a chapter of a Ford Foundation-supported work that reviews the needs and responsibilities of higher education. The report resulted from a series of meetings of the presidents of 15 major universities with a group of foundations interested in helping resolve the problems of higher education.

The problems of research libraries are spelled out: inadequate financial support, the need to use computer and telecommunications technology, the expanding expectations of users, and a shortage of the specialized management skills required. Recommendations are made for support of research collections, creation of a national lending

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library, establishment of a permanent commission on library resources, improvement of bibliographic services, improvement of library management, preservation of library materials, and new modes of cooperative action.

33:4.0/77

Library Resource Sharing, Allen Kent and Thomas J. Galvin, eds., 356 pp. (Marcel Dekker, New York).

This is a collection of papers presented at a national conference on the subject "Resource Sharing in Libraries," held in Pittsburgh, September 29 to October 1, 1976. As stated in the preface to this volume, "the purposes of the conference were to review the long-term goals of resource sharing, the progress which has been made toward achieving these goals, and the problems still needing attention." Particular emphasis has been placed on the economic issues of libraries and library networks and a performance criteria for evaluation of a resource-sharing network.

This book is organized in six parts: The Long Range Goals (Part One), Progress Towards Goals (Part Two), Problems Needing Attention (Part Three), The Economics of Libraries (Part Four), Telecommunications (Part Five), and The Future (Part Six). This final section, written by Alan Kent, provides a summary of the conference proceedings, discusses directions for future research on the topic, and suggests some priorities for this research.

These proceedings offer a current, straightforward review of the concepts, issues, and activities of academic library resource-sharing networks. It will prove to be a useful tool for the academic administrator who wishes an overview of this topic.

33:4.0/76

Federal Policy and Library Support, Kathleen Redmond Molz, 118 pp. (The MIT Press, Cambridge, Mass.).

This is a critical examination of Federal policy toward libraries. It is intended to provide background on the development of the current position of the Federal Government toward library funding.

Analyzed here are the Federal priorities for funding and the entire machinery that controls the planning, budgeting, and administration of these programs. The opening chapter provides a historical overview and traces the Federal support of libraries up to the present period.

Of most importance here is the insight provided into the Federal bureaucracy and the future of library support.

A more recent update of Federal legislation for library programs is provided by William D. Ford in an article entitled "Federal Library Programs: Past, Present and Future," *Library Journal,* (Sept. 15, 1979, pp. 1768-1772).

33:4.0/75
Toward a National Program for Library and Information Services: Goals for Action, National Commission on Libraries and Information Science, 106 pp. (U.S. Government Printing Office, Washington, D.C.).

This document seeks to provide a framework on which the library and information science professions and the American public will be able to construct a National Program for Library and Information Services for the people of the United States. It is the basic document concerning national planning for academic as well as all other types of libraries and information centers for the 1970's and into the 1980's. It is must background reading for any administrator planning academic library activities at the state, regional, or national level.

Authors, publishers, and librarians are viewed as component parts of a national knowledge resource which powers our national development and nurtures our educational system. To achieve the most effective use of national information resources, a coordinated program of expenditures, facilities, and efforts is recommended in order to avoid costly, uneven, and wasteful services. The national program is derived from regional hearings, conferences, and correspondence with experts and library users. The need for this program is outlined with a discussion of present resources, the need for access, the challenge of overabundance of information, the influence of technology, copyright issues, and the rationale for Federal involvement.

Present libraries, the foundation on which a nationwide information network should be built, are discussed and described by type (public, special, school, academic and research, state and Federal). According to the document, academic and research libraries represent the bibliographic foundation of the nation's research effort. They are faced with problems of rising costs, changing education objectives, and the impact of new technology. Many have begun cooperative efforts to improve their own operational efficiency. Other academic libraries, at the college and junior college levels, are inadequate.

The concerns of the private sector are also detailed, including economic viability, relationship to the Federal Government, and copyright. Present networking activities are discussed, along with barriers to cooperative action.

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5.0 COLLECTION MANAGEMENT

33:5.0/79

Academic Research and Library Resources: Changing Patterns in America, Charles B. Osburn, 187 pp. (Greenwood Press, Westport, Conn.).

There is widespread concern that excellence in academic research and, more generally, in graduate education may decline as a result of the limited capacity of libraries to provide adequate information resources. A variety of strategies exist for responding to these circumstances, including: controlling growth through weeding and storage, enhancing availability of materials through the duplication of select titles, improving bibliographic control and access through national networking, developing a national collection through the sharing of resources, and defining use patterns generally and citation patterns in specific disciplines. For these strategies to be successful, administrators and planners need to understand the relationship of the library to the scholarly activities they are serving.

The author provides this understanding by drawing on his experience as chief collection development officer in two research universities and humanities bibliographer in a third. He reviews the present status of academic research libraries by examining the environments in which they have evolved. He examines the nature of academic scholarship and research, the significance of collection growth and changing patterns, and the relationship of these several matters to library policy and operation. His conclusion is that the problems confronting the provision of library resources are not as catastrophic as many of his more pessimistic colleagues believe.

The author begins by examining patterns of research in three disciplinary clusters: sciences and engineering, social sciences, and humanities. He notes new directions in research that affect library collections. For example, in the social sciences and physical sciences, the use of quite current information of a highly interdisciplinary nature has increased substantially. In the humanities there is a trend away from research and scholarly interest in the past toward interest in the present or the very recent past. All these trends are documented in the literature of specific disciplines, but it is the holistic view of academic research and its changed configuration where library resources are concerned that is of particular value to the planning of university library administration.

The author concludes with several recommendations for ongoing planning for library resources. These include development of service orientation, establishment of standards of quality for evaluation of collection, and the further integration of the collection management

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function into the scholarly and research activities of the university.

This item is the single best overview of collections development in academic and research libraries.

33:5.0/78

Collection Analysis in Research Libraries: An Interim Report on a Self-Study Process, Association of Research Libraries/ Office of Management Studies, 27 pp. (ARL, Washington, D.C.).

This is a series of papers presented at the Ninety-First Membership Meeting of the Association of Research Libraries in October 1977. These papers report on the progress of the Collection Analysis Project (CAP), a program sponsored by the Office of Management Studies of the Association of Research Libraries. The CAP program is a methodology for university research libraries to use to analyze their acquisition, selection, retention, resource sharing, and preservation practices. It is a means to address the problems and issues concerning collection development in these libraries.

The first of the five papers in this report addresses the major issues in the development and maintenance of collections. The second paper describes the Collection Analysis Program purpose, model, and methodology. The final papers are status reports of CAP projects at three research libraries that served as pilot test libraries for the program.

This report provides a general description of the collection development issues that academic research libraries face today and details a method for individual libraries to use to analyze their own collection development and maintenance procedures. It serves as a good introduction to this subject for the college or university administrator.

33:5.0/76

Farewell to Alexandria: Solutions to Space, Growth, and Performance Problems of Libraries, Daniel Gore, ed., 180 pp. (Greenwood Press, Westport, Conn.).

This collection of essays explores the Alexandrian model of a library, i.e., a good library is one that is large and ever growing. This concept began with the founding of the Alexandria Library over 2,300 years ago and continues to pervade the library world. It has only recently been challenged by librarians. A major effort in this examination was a conference held in April 1975, sponsored by the Associated Colleges of the Midwest, entitled "Touching Bottom in the Bottomless Pit." This conference was called to "open a national debate

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on space, growth, and performance problems of libraries—academic libraries in particular..." Ten of the eleven essays in this volume were presented as papers at this conference. Each contributes to an examination of this concept and its consignment "to the limbo of outworn dogmas."

The eleventh essay, written by the editor of this volume, bids farewell to the Alexandrian model and offers a different, more viable one, that of the "no-growth, high-performance" library. Gore discusses a library's performance in terms of its performance rate, the percentage of all books a user wants that are available on the library's shelves. He concludes that, in these times of increasing book costs and decreasing funding for collections, librarians should endeavor to increase the performance rates of their libraries by monitoring the use of their holdings, weeding and discarding or storing low-use materials, shortening loan periods for high-use materials, and developing methods to make their collections more accessible to users.

Gore, who serves as the Library Director of Macalester College, has successfully employed this model in his own library. He explains this in *To Know a Library: Essays and Annual Reports, 1970-1976* (Westport, Connecticut: Greenwood Press, 1978). This work offers an explanation of Gore's success in his practical application of this theory of the "no-growth, high-performance library."

33:5.0/69

"The Preservation of Library Materials," Paul N. Banks, *The Encyclopedia of Library and Information Science,* Allen Kent, Harold Lancour, and Jay E. Daily, eds., Vol. 23, pp. 180-222, (Marcel Dekket, Inc., New York).

The preservation of library materials is just emerging as a distinct professional concern. This is due to the fact that academic library collections are seriously endangered by a combination of damaging environmental conditions, improper handling, and the declining quality of the materials themselves. It has been estimated that a third of the materials in the nation's academic libraries have reached a state of deterioration that makes future use almost impossible, and as many as half may be unusable by the end of this century.

Although major libraries have begun to look seriously at preservation problems, and some have moved toward establishing broad programs to control and correct them, such efforts have been slowed by a lack of trained preservation specialists, common standards and traditions of practice, shortage of funds to deal with the problems, and a general lack of awareness on the part of administrators, libraries, and users of the seriousness of the problem.

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This report offers the best overview of the preservation concern. It describes the brittle book problem encompassing books printed after 1860 where the inherent chemical instability of the paper makes the pages so brittle that eventually they cannot be handled without breaking.

Inadequate environmental conditions contribute greatly to the deterioration of library materials. Temperature, relative humidity, airborne pollutants, and light all have profound impact on the useful life of books and other information media.

The report also reviews handling and storage practices for academic library collections. Information is provided on physical treatment methods as well as steps individual libraries should take to strengthen and extend their capability to deal with preservation problems.

The scope of the preservation issues vastly exceeds the resources currently available to most libraries. But since a national approach has not yet emerged, individual libraries must selectively address the preservation issues of priority concern to their own collections. Resources are currently being developed for this purpose by the Association of Research Libraries (ARL) in a preservation project begun in early 1980 by their Office of Management Studies (OMS). This office has recently issued a SPEC Flyer and Kit (July/August 1980) that provides a review of individual library planning efforts directed at the preservation area.

33:5.0/61

Patterns in the Use of Books in Large Research Libraries, Herman Fussler and Julian Simon, 210 pp. (University of Chicago, Chicago).

This is a landmark study on the use of materials in research libraries. The methodology and findings have greatly influenced library management and planning over the last 20 years. This report continues to be important reading for those interested in understanding the dynamics of research library operations.

The study begins by looking at options for the way books are stored and made available in research libraries. The authors argue that the growth in size and complexity of recorded information, the expansion of library-based education and research interests, the growing recognition of the importance of timely and effective access to information, and the pressure of inflation on libraries' budgets for staff, materials, and space require a rethinking of the assumption that the immediate availability of books is a necessary or achievable goal for research libraries.

The options to immediate availability include cooperation arrangements, resource sharing, remote and compact book storage, centralized collection microfacsimile and other methods of optical or electronic information storage, and so forth. The consideration of these options must take into account the patterns of library use. The study attempts to shed light on the question, "Will any kind of statistical procedures predict with reasonable accuracy the frequencies with which groups of books with defined characteristics are likely to be used in a research library?" This question recognizes, of course, that a good research library is not based on heavily used items, since many infrequently used books are essential to scholarly research, but use is a criterion that needs to be taken into account in the management of the book stock as well as in the selection and weeding of these collections.

The report reviews methods of predicting future use, examines how well some of the study results applied to other major research libraries, explores the topic of browsing and nonrecorded use, particularly as this relates to recorded use, defines the best method for identifying serial volume for storage, provides a set of procedures for transferring books to storage, and compares the costs of housing books in compact and conventional housing.

This work concludes that: (1) it is possible to predict probable future use of materials on the basis of certain defined characteristics (principally past use); (2) compact offsite storage can significantly reduce operating and capital costs; and (3) the trade-off concerning what is gained and what is lost by implementing an offsite storage system must in the end be a subjective judgment drawing on relevant data, including statistical patterns of use.

Other more recent studies of use patterns build on the accomplishments of this report. For example, Richard Trueswell has advanced a technique for predicting future use of an item using the last circulation date as the major element that has application for smaller academic libraries. See "Growing Libraries: Who Needs Them? A Statistical Basis for a No-Growth Collection" in Gore, Daniel, *Farewell to Alexandria*, (Westport, Conn.: Greenwood, 1976).

Another study directed by Allen Kent and entitled *Use of Library Materials: The University of Pittsburgh Study* (New York: Marcel Dekker, 1979) has generated some controversy concerning its methodology and conclusions. It argues that if a book has not circulated in the first 6 years, the chances of its ever being borrowed are 1 in 50. Also, weeding books unused after 7 years would extend the life of the building by 21 years. A good review of the controversy surrounding this study is provided in "Pittsburgh University Studies of

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Collection Use: A Symposium," *Journal of Academic Librarianship,*
5:2, (May 1979), pp. 60-70.

6.0 PUBLIC SERVICE

33:6.0/78
Progress in Educating the Library User, John J. Lubans, ed.,
230 pp. (Bowker, New York).

 This is an update of a work published in 1974, also edited by
Lubans, entitled *Educating the Library User.* This earlier book con-
sists of 39 essays, research reports, and case studies by a variety of ex-
perienced librarians and teachers on the subject of library instruction
for users at all educational levels. As the title suggests, this 1978
volume is a companion to the earlier work and focuses on recent
trends and activities. The reports on new, successful programs provide
additional models for library instruction programs.

 Of particular interest and value to academic administrators are
the survey of 220 undergraduate colleges regarding their library in-
struction efforts and a report on the programs at 25 large
undergraduate libraries. Both this and the 1974 work contain useful,
important information on programs to educate library users in the col-
lege and university environment.

 Each chapter concludes with a bibliography. A list of clear-
inghouses, directories, and newsletters is also included.

33:6.0/77
The Measurement and Evaluation of Library Services, F. W.
Lancaster, 395 pp. (Information Resources Press, Washington,
D.C.).

 Professor Lancaster presents a survey and critical examination
of the various methodologies that have been developed and used to
measure and evaluate the services libraries provide for their users.
While emphasis is placed on public services, significant attention is
given to the evaluation of technical services functions. Of particular
interest and value are the reviews of several important studies which
have employed these evaluation methodologies. Lancaster gives a
brief description of these studies and discusses the major findings to il-
lustrate how these methodologies may be applied and to show the
results that can be achieved.

 In addition to the chapters on the evaluation of such services as
reference, literature searching and information retrieval, and collec-
tion development, the author includes sections on studies of catalog
use, evaluation of automated systems, library surveys, and the effect
of physical accessibility and ease of use. Of particular use are the

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chapters on cost performance, benefits considerations, the effect of physical accessibility, and the relevance of standards to evaluation of library services.

This is a clear, concise, and valuable work on a subject of major importance to library administrators. An assessment of how well a library performs to meet its service objectives is essential to the continued provision of effective service for its users. The book is an excellent guide to evaluation methodologies for library services and will serve as a valuable resource for academic administrators as well as library directors in their efforts to measure how well the library serves the needs of its users.

33:6.0/76

"Online Bibliographic Services," Jeffrey J. Gardner and David M. Wax, *Library Journal,* 101, September 15, pp. 1827-1832.

On-line computer-based bibliographic search services are offered by a growing number of academic libraries to provide their users with better access to the ever-growing volume of scholarly information available to researchers. This article describes these search services, the history of their development and proliferation, an ' ne problems that have been encountered by the libraries that offer these services.

Gardner and Wax discuss the roles that the Federal Government, commercial vendors, and libraries have played and continue to play in the provision of computer search service. They suggest some of the political overtones of these roles and describe the effects of the interactions among these three sectors. The authors point out that the complexity of the data bases, the lack of standardization among them, and the high cost of the searches are major limitations to their use.

This article offers the best general overview of this topic and serves as a concise, useful introduction for the academic administrator. The discussion of future directions and the suggestions for improvements such as standardization of format and terminology, better quality control, and reduction in cost to the end user are particularly informative.

The Systems and Procedures Exchange Center (SPEC) of the Office of Management Studies, Association of Research Libraries, has produced a SPEC Kit, Number 62, which provides information on the current state of these on-line services in academic libraries. This kit includes reports on activities in this area from several large libraries such as Yale, Princeton, and Stanford.

7.0 BIBLIOGRAPHIC CONTROL

33:7.0/79-1

"The Four On-line Bibliographic Utilities: A Comparison,"
Joseph R. Matthews, *Library Technology Reports*, Vol. 15,
No. 6, November-December, pp. 665-838.

This report inventories alternative methods for obtaining or
creating the necessary bibliographic information about a library's col-
lection for bibliographic purpose. These alternatives include manual
cataloging support systems, commercial vendors, automated in-house
systems, and on-line bibliographic utilities. The major portion of the
report is concerned with the bibliographic utilities because of the in-
fluence and importance of these organizations on the national scene.

Bibliographic utilities provide a variety of services centering
around cataloging of library materials. Typically, these organizations
maintain a large on-line bibliographic data base and provide products
and services using this data base to their consumer libraries. The data
base is created from cataloging contributed by consumer libraries (a
concept called shared cataloging), and the utility maintains an on-line
union catalog providing access to this information. The principal ser-
vice furnished by utilities is provision of catalog cards.

The appearance and growth of bibliographic utilities is a
phenomenon of the last 10 years. Prior to 1970, on-line cataloging
systems did not exist. Today, there are over 3,000 terminals operating
in approximately 2,500 libraries. The basic concept of a utility is that
each participating library has access to both source bibliographic
records (e.g., the Library of Congress MARC distribution services)
and the original cataloging contributed by other participating
libraries. The prospects for continued rapid growth are high, since
only 10 percent of the libraries are presently using these services, and
the success of the utilities in giving needed services is clearly evident.

Libraries participate in an on-line bibliographic system because
of the rapid availability of catalog cards and because of the benefits of
pooling catalog records among similar libraries. In making a decision
to enter one of the systems available, the library needs to look at the
technical requirements, quality of cataloging output, relative costs,
expected benefits, and support services provided.

The report examines the four main bibliographic utilities from
the perspective of selection of a utility to best meet library needs and a
description of the utilities in terms of history, contractual arrange-
ments, available functions, products, communications, terminals,
response times, reliability, the data base, and training provided.

There is also some consideration of the impact of utilities on the
evolving national network of libraries. The report describes the ideal

national network, which would allow a library, linked via a terminal to a computer and the computer in turn linked either to other computers or to a communications network, to access all of the machine-readable data in America. The forces shaping this evolving network are described.

The report provides useful information on terminology, selected readings, utility price lists, and sample contracts. Altogether this is an invaluable source for the academic administrator faced with the decision of whether to join a bibliographic utility and which one best meets his institution's needs.

33:7.0/79-2

The Future of the Catalog: The Library's Choice, S. Michael Malinconico and Paul J. Fasana, 134 pp. (Knowledge Industry Publications, Inc., White Plains, N.Y.).

Today the card catalog is the basic instrument that provides organization for access to the information resources a library provides its users. In the future, automated library systems and expected developments in data base publishing will substantially alter the way catalog information is accessed by the library user.

While automation has had considerable impact on the process and costs of cataloging collections, it has not yet had a significant impact on the process and costs of maintaining the catalogs. This is due to reliance on the card catalog as the principle format, which requires manual updating and maintenance. The success of automated cataloging systems has served to bring into greater clarity the deficiencies of card catalogs. These deficiencies, in combination with the closing of the Library of Congress catalogs and the implementation of a new cataloging code, have forced librarians to seriously consider alternatives to card catalogs.

The purpose of this book is to explore the potential advantages and disadvantages of catalog alternatives. The authors note that the technology for alternative catalog forms has been developed and effectively demonstrated. Using a computer simply to produce catalog cards is a gross underutilization of data processing technology. Printed book catalogs, computer output-microfilm catalogs (COM), and on-line interactive catalogs are described as viable alternatives and are compared in terms of limitations, costs, and benefits. The book provides a thorough overview of the principles of a catalog and how automation and other national developments have affected local library work requirements and services.

The authors provide considerable help for the administrator faced with the challenge. Managing the transition process, making the

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decision to change or not to change catalog form, implementing that decision, and dealing with the potential problems are all covered here.

Other sources for help are cited in a comprehensive bibliography.

33:7.0/79-3

"Managing the Information Revolution: CLR's Bibliographic Service Development Program," Warren J. Haas, Nancy E. Gwinn, and C. Lee Jones, *Library Journal,* September 15, pp. 1867-1870.

This article describes a national effort to improve the availability and the quality of bibliographic products and services in the United States. This ambitious program is only in the inception stage but promises to establish a national system for the generation, distribution, capture, and use of bibliographic records.

Since a major cost of academic library operations is the creation and maintenance of information on materials needed by library users, this program has extraordinary potential for affecting the budget as well as the service capabilities of the nation's academic and research libraries.

33:7.0/79-4

Scholarly Communication: The Report of the National Enquiry, 176 pp. (The Johns Hopkins University Press, Baltimore, Md.).

The National Enquiry into Scholarly Communication was begun in 1976 to address the problems that librarians, publishers, and college and university administrators face as a result of the information explosion, declining student enrollments, and inflation. The National Endowment for the Humanities and the American Council of Learned Societies sponsored this enquiry "in response to the widespread concern in the academic community that a crisis in finance threatened the performance of research libraries and the viability of scholarly publishing."

The board of governors, composed of university administrators, librarians, faculty, directors of university presses, publishers, and representatives of learned societies, studied the current system of scholarly communication in three major areas: scholarly journals, scholarly books and presses, and research libraries. As a result of their findings, the members of the board came up with 12 principal recommendations: (1) cooperation between the Library of Congress and research libraries, scholarly associations, and organizations that produce bibliographic services to create a national bibliographic system; (2) establishment of a national periodicals center; (3) creation of a na-

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tional library agency to develop a national library system; (4) control over the growth of journals; (5) use by small journals of production services from larger publishers as a means to reduce costs and allow for continued operation; (6) cooperation by journals, libraries, and scholars with the Copyright Clearance Center; (7) promotion of the sale of scholarly books abroad; (8) participation in the publishing process by universities without presses through sponsoring works produced on their campuses, (9) broadening the foundation support for scholarly communication; (10) collaboration by scholarly presses in managing centers for processing orders, warehousing, and shipping; (11) establishment of an office of scholarly communication within the National Endowment for the Humanities; and (12) establishment of a standing committee composed of scholars, publishers, and librarians to continue discussion of the intelligent use of technology.

These recommendations are derived from the findings of the National Enquiry on the current system of scholarly communication and constitute a means to effect the changes necessary to meet the needs of scholarship. The report serves as a beginning for those in the academic community to move "from the present system toward the establishment of a new national, and even international system."

33:7.0/77

"Contemporary Issues in Bibliographic Control," Herman H. Fussler and Karl Kocher, *Library Quarterly,* Vol. 47, July, pp. 237-252.

The authors discuss "a variety of issues related to the effectiveness of current and future systems for bibliographic control of library resources and user access to these resources." The article was written to provide a general overview of the bibliographic access problems of the large academic and research libraries. The circumstances that precipitated the changes in the systems for bibliographic control in libraries are reviewed, and the more significant changes that have already occurred are discussed. The article concludes with a view toward the future and some predictions about anticipated developments for national and local bibliographic-access systems.

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Lifelong Learning

Richard E. Peterson

The notion of lifelong learning, while widely accepted in Europe for more than a decade, has emerged in the U.S. as a significant educational concept only in the past 5 years. A broadly unifying idea, it may be understood as a conceptual framework for facilitating learning among people of all ages. It emphasizes drawing on resources from a wide range of institutions—noncollegiate organizations such as libraries and museums, as well as colleges and universities. For purposes of this bibliography, the focus is on how colleges and universities can most effectively provide learning opportunities for older adults through full- or part-time enrollment, for degree credit or not, and offered either on or off campus.

General. Volumes in this first section treat broadly the nature and scope of the nontraditional and lifelong learning movements. Together they describe various types of programs, consider political implications, and comment on policy issues. Authors discuss the social and cultural trends that necessitate lifelong learning, and they comment on possible benefits to individuals and society from continuous learning. Numerous ideas for colleges and universities to better serve older students are set forth.

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Adult Development and Learning. Much has been written in recent years, mostly in a theoretical vein, on how adults develop and change. Many analysts assert that adults pass through stages and crises in the course of their development. Works in this section review the theories of development during adulthood and their implications for programs of lifelong learning.

Planning and Management. Here the focus is on how to design and implement programs that meet the assessed needs of adult populations. Needs assessment methodology and selected results are discussed, as is the emerging notion of marketing. A host of factors to be weighed in planning programs for adult learners are considered, such as financing, scheduling, geographical accessibility, physical facilities, publicity, and evaluation.

Teaching and Learning. The general assumption underlying this section is that older adults have different learning needs and styles. Conventional methods of teaching younger people may not be appropriate. Indeed a whole new conceptualization—dubbed andragogy—has emerged for understanding how to facilitate learning in adults.

Crediting Noncollegiate Learning. Another new (in the past decade) understanding about the formal education of adults is that throughout their lives they may learn a great deal from their jobs and military training, for example, that adds up to the equivalent of a college education. Entries in this section discuss these assumptions and various techniques for evaluating knowledge and skills that individuals acquire outside of college, typically to be credited toward a college degree earned relatively late in life.

Counseling and Information Services. Adults returning to college commonly need sensitive assistance in making the transition back to school or in preparing to combine learning with earning. They need information about available learning opportunities, and they often need counseling services in order to better understand their own intellectual strengths and weaknesses. These services, as well as the notion of education "brokering"—a service that aids potential students in locating suitable learning opportunities—are discussed in the books in this section.

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Information Sources for Planners. A great many organizations are potential sources of information and materials for planners of lifelong learning programs. The volume annotated is a recent guide to these resources.

TOPIC ORGANIZATION

34: Lifelong Learning

1.0 General
2.0 Adult Development and Learning
3.0 Planning and Management
4.0 Teaching and Learning
5.0 Crediting Noncollegiate Learning
6.0 Counseling and Information Services
7.0 Information Sources for Planners

1.0 GENERAL

34:1.0/80-1

Adult Learning, Higher Education, and the Economics of Unused Capacity, Howard R. Bowen, 33 pp. (The College Board, New York).

This brief report is one in a useful series of papers from the College Board's series *Future Directions for a Learning Society.* Bowen's general purpose is to explore options for American colleges and universities concerning the education of older students. He assumes that the supply of potential learners is ample to maintain or even expand enrollments and that the numbers actually attending are determined in part by "conscious policies of higher educational institutions."

The report reviews the demographic situation (the declining number of 18-year-olds during the 1980's), comments on three past periods of unused capacity, and then outlines four options for the college: (1) redirect resources toward higher quality; (2) redirect resources toward research and public service; (3) redirect resources toward new student clienteles; and (4) retrenchment.

Bowen goes on to discuss 13 "principles and proposed guidelines" to higher education institutions for accommodating older students: (1) adults of all ages can learn, (2) they need unbiased information about educational opportunities; (3) admissions and residence requirements must be flexible; (4) scheduling of instructional programs must recognize job and family obligations; (5) instruction should be tailored to the pragmatic interests of adults; (6) qualified

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teachers should be used; (7) services to .tudents of all ages should be of comparable quality; (8) instructional and other costs to the institution should be similar, regardless of the age of students served; (9) fees and financing should be comparable, regardless of student age; (10) colleges should strive to reduce various monetary and non-monetary barriers to older student attendance; (11) tuition and fees should be low; (12) "supply" (of new programs) should stay ahead of "demand" (for existing ones); and (13) adult programs should in general be of a quality equal to that of the institution's main program.

An appendix is included giving useful tables on births, age-group projections, and college attendance projections by age group.

34:1.0/80-2
Power and Conflict in Continuing Education, Harold J. Alford, ed., 247 pp. (Wadsworth, Belmont, Calif.).

This very recent book provides a vivid picture of the political situation in which university continuing education finds itself at the end of the decade. Based on a March 1979 symposium, the volume consists of nine articles by continuing education leaders, most of whom are associated with universities, together with discussion among the nine participants after each paper. Three general questions were addressed: (1) Who should provide what, for whom? (2) How should continuing education be evaluated, financed, organized, and staffed? and (3) Where have we been? Where are we now? Where do we go from here?

In general, the mood of the symposium was pessimistic. Problems of competition and "turf" predominated, as the participants viewed the arrival of a host of new continuing education "providers" into an arena traditionally occupied by 4-year colleges and universities. Other problems centered on the relation of university extension and continuing education to the rest of the institution, the financing of continuing education, evaluation and accreditation, and preparation of continuing education professionals.

The book is organized in three parts. Part I, entitled "Continuing Education Providers," has chapters on the universities, industry, the community college, and the professional organizations. Part II, "Continuing Education Organizations and Operations," contains chapters on accreditation, finance organization, and the continuing education professional. Part III, "Continuing Education Perspective," begins with a sobering yet mildly upbeat commentary by John Ervin ("A Glorious Future—If") and closes with more brooding by the participants.

34:1.0/80-3

Continuing Learning in the Professions, Cyril O. Houle, 390 pp. (Jossey-Bass, San Francisco).

In this his most recent book, Cyril Houle notes that his purpose is "to suggest how some of the manifest needs (of the professions) may be met by the greatly extended and diversified use of continuing learning." Broadly, the need is to assure continued quality in professional performance. Insisting on a comparative approach ("to know but one profession is not to know that one..."), Houle studied 17 professions, ranging from accountants to veterinarians.

In Chapters 1 and 2, the author sets forth his concept of "professionalization" as a "dynamic" concept, as opposed to "static professionalism," with the former signifying a continual, lifelong process of improved professional performance and accomplishment and, in consequence, social acceptability. In Chapter 3, he considers goals of lifelong professional education. For individuals, these include mastery of theoretical knowledge, capacity to solve problems, use of practical knowledge, and "self-enhancement"; for the profession collectively, formal training, credentialing, creation of a subculture, legal reinforcement, public acceptance, ethical practice, supportive relations with allied occupations, and defined relations with users of the professional service in question.

In Chapter 4, as an alternative to the "classical model" of professional preparation, Houle sets forth a model that is truly lifelong and essentially self-directed. In Chapter 5, he reviews results from a special analysis of a national poll of adult learners and "would-be" learners and posits a five-group typology of professionals—innovators, pacesetters, the middle majority, and laggards; the fifth category, facilitators, consists mostly of researchers and professional leaders (rather than practitioners). Chapter 6 describes the major providers of continuing professional education: informal autonomous groups of professional associations, professional schools, universities, employment settings, and independent and commercial organizations.

Chapter 7 considers designs of learning programs from both conceptual and practical standpoints, and concludes with a 10-step "triple-mode model." Chapter 8 deals with evaluation; it critiques conventional approaches that tend to emphasize measurement of competence and recommends attention to a broader notion of "quality of practice" as indicated by sound methods of peer appraisal, self-assessment, and staff appraisal. Chapter 9 discusses "the case against the professions" and the "case" for continuing education in assuring professional quality. In Chapter 10, Houle sums up his work in a seven-point "program for action."

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34:1.0/79

Lifelong Learning in America: An Overview of Current Practices, Available Resources and Future Prospects, Richard E. Peterson and Associates, 532 pp. (Jossey-Bass, San Francisco).

Resulting from a 2-year study funded by the Exxon Education Foundation, this book is an attempt to review in a comprehensive way major adult learning policies and practices in the U.S. Intended for program planners in both colleges and universities as well as in nonschool organizations, the volume describes a host of innovative programs, cites hundreds of sources of further information, and otherwise serves as a comprehensive information base for informing program design.

In the Introduction, Peterson, acknowledging relevant documents chiefly from UNESCO, suggests that lifelong learning be viewed as a "master concept" calling for facilitation of learning among people of all ages by both school and nonschool organizations. In Chapter 1, he sets forth a typology of sources of both deliberate and unintentional learning in the U.S. and then describes the nature and scope of each source or provider in some detail.

In Chapter 2, K. Patricia Cross reviews and synthesizes survey data on adult learners and potential learners, including biographical characteristics, learning interests, and reported barriers to further learning. She comments on the state-of-the-art in needs assessment and concludes with 13 questions that need further study.

John A. Valley, in Chapter 3, reviews developments in *local* settings—both collegiate and noncollegiate—in terms of several underlying themes (for example, coordination, access, new tools, outreach, and unmet needs).

Susan A. Powell's focus in Chapter 4 is on *state-level* policies and programs. She discusses uses of state policy studies, statewide counseling and information services, state university external degree programs, consortia, and programs for special target groups.

In Chapter 5, Terry W. Hartle and Mark A. Kutner examine Federal initiatives related to lifelong learning, including the (Mondale) Lifelong Learning Act and the HEW Lifelong Learning Project, various proposals under discussion (in 1978), and, based on 50 interviews, "Washington views of lifelong learning."

Chapter 6, assembled by Judith Bonnett Hirabayashi, is a compilation of information resources, including organizations, periodicals, and ongoing research and developmental projects.

Chapter 7, by Peterson, considers implications for planners from all the earlier material in the volume. A case for lifelong learning is made, a typology of benefits is outlined, and implications for plan-

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ners are set forth under 15 headings (for example, local organizing, planning techniques, new roles for schools and colleges, and continuous evaluation).

34:1.0/78
The Graying of the Campus, Ruth Weinstock, 166 pp. (Educational Facilities Laboratory, New York).

This book deals with how colleges and universities can accommodate older students, those roughly age 55 and older. While the volume was originally intended to focus on the physical aspects of colleges, which are commonly designed for the young, in the end it came to cover the total educational environment in a sprightly, nonargonistic style. It contains numerous descriptions of innovative programs for the "young-old" (ages 55-75).

Parts 1 and 2 describe "a new partnership" and "the new partner": the nature of the movement of older and elderly people back to college, statistics on the aging population and their enrollment in college, "facts and fiction" about the intellectual capacities of older people, and the diversity in the older population.

Part 3 considers issues related to design of effective instructional programs: the necessary range of offerings, temporal scheduling, special types of content, format questions, planning *with* students, preparing teachers, and counseling and other support services.

Part 4 discusses financing issues, including faculty, facilities, and administrative and support services costs, together with notes on various sources of external financing.

The book concludes with a compilation of annotated references on (1) the education of older and elderly people and (2) organizations interested in the education of older people.

34:1.0/77
The Future of Adult Education: New Responsibilities of Colleges and Universities, Fred H. Harrington, 238 pp. (Jossey-Bass, San Francisco).

As the subtitle denotes, the audience for this book is college and university staff. Broadly speaking, it is an informed plea, by a former major university president and one-time director of university programs for adults, for higher education institutions to become genuinely involved in the education of adults.

In Chapter 1, Harrington asks whether there is an "adult education revolution"; he concludes that there is and, indeed, that adult students are "at the center of today's most interesting innovations in higher education."

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In Chapter 2, the author, a historian by training, traces the history of higher education's concern for adults, touching on the Lyceum lectures, early summer schools, correspondence study, the Chautauquas, the American Society for the Extension of University Teaching, agricultural extension, university extension, eveni g colleges, the Truman Commission, special degrees for adults, the New School, the Fund for Adult Education, and recent efforts to serve disadvantaged adults.

Chapter 3 considers many of the reasons why older students have difficulty enrolling in regular on-campus, degree-credit programs. Chapter 4 reviews the mostly new external degrees and other off-campus degree-credit programs, including broadcast media strategies, credit by examination, extension classes, correspondence study, and the experience of the Open University of Britain. Chapter 5 examines various forms of continuing professional education; many are judged to be too short, too narrow, out of university control, and biased against women and in favor of upper-income professionals.

"Basket weaving" and "liberal education" are discussed togethe; in Chapter 6; recommendations for strengthening university noncredit general interest offerings are given. Chapter 7 is a very interesting analysis of agricultural extension—its structure, functioning, strengths, and weaknesses. Chapter 8 reviews the recent history of urban-oriented problem solving and community service activities (and Title I of the Higher Education Act). Chapter 9 comments on university obligations to the disadvantaged. Chapter 10 discusses bureaucratic considerations in accommodating adult students on university campuses. Chapter 11 deals with financial questions. The concluding chapter sets forth four broad "recommendations for action."

34:1.0/73-1

Diversity by Design, Commission on Non-Traditional Study, 178 pp. (Jossey-Bass, San Francisco).

This book is the final report from the Commission on Non-Traditional Study, which was created in 1971 under the chairmanship of Samuel B. Gould to study emerging nontraditional alternatives (mostly for adults) in higher education and to make recommendations. Something of a manifesto for the "nontraditional" movement, the volume has been broadly influential.

The Commission's widely quoted definition suggests that nontraditional study "is more an attitude than a system. This attitude," the report goes on to say, "puts the student first and the institution second, concentrates more on the former's need than the latter's convenience, encourages diversity of individual opportunity rather than

uniform prescription, and deemphasizes time, space, and even course requirements in favor of competence and, where applicable, performance. It has concern for the learner of any age and circumstance, for the degree aspirant as well as the person who finds sufficient reward in enriching life through constant, periodic, or occasional study."

The Commission's 57 recommendations are summarized in the book's preface as follows: (1) lifetime learning—basic, continuing, and recurrent—has a new appropriateness today and requires a new pattern of support; (2) colleges and universities must shift emphasis from degree-granting to service to the learner, thus countering what has become a degree-granting obsession; (3) faculty understandings and commitments must be reoriented and redirected, particularly through in-service developments, so that knowledge and use of nontraditional forms and materials will increase; (4) an organized effort must be made to promote intelligent and widespread use of educational technology with special emphasis on programming for cable television, computers, videotape recorders, and possibilities of satellite broadcasting; (5) new agencies must be created to make possible easy access to information and develop better ways to disseminate it, to perform guidance and counseling services, and to be assessors and repositories of credit for student achievement; (6) new evaluative tools must be developed to match the nontraditional arrangements now evolving, so that accreditation and awarding of credentials will have appropriate measures of quality; and (7) cooperation and collaboration must be encouraged among collegiate, community, and alternate educational entities so that diverse educational programs and structures may evolve.

34:1.0/73-2

Patterns for Lifelong Learning, Theodore M. Hesburgh, Paul A. Miller, and Clifton R. Wharton, Jr., 135 pp. (Jossey-Bass, San Francisco).

This book reports on three separate but related W. K. Kellogg-supported explorations into the role of the university in fostering lifelong learning. Published early in the decade, it helped to introduce lifelong learning concepts into modern thinking about the purposes and functioning of higher education institutions.

Part I presents conclusions from a 1971 conference at the University of Notre Dame on "Continuing Education and University." Chapter 1, "The Learning Society," contends that all major institutions in the society, not just schools and colleges, should be responsible for helping people to learn. Chapter 2, "Curricula," urges that "learning how to learn" become an integral part of the

undergraduate curriculum. Chapter 3, "Public Policy," recommends a Federal "bill of education rights," release time for employees for education, and in-service educational opportunities for government workers. Chapter 4 elaborates on seven general recommendations for university reforms to better accommodate lifelong learners.

Part II, entitled "Universities and the Learning Society," was written entirely by Miller. He reviews various societally induced changes in the role of the modern university, and advocates greater university involvement in continuing education and community problem solving. He suggests that universities can help develop "civic competence" in their respective communites. He also suggests that both school and nonschool organizations can facilitate personal fulfillment in individual students.

Part III, "The Lifelong University," reports findings from the 1972 Lifelong Education Task Force of Michigan State University. Set forth are some 67 recommendations affecting numerous university operations, including admissions, registration, orientation, transfer of credits, scheduling, time limits for degrees, enrollment options, support services, credit for past experiences, certification, use of educational technology, new degree and nondegree programs (on- and off-campus), an experimental Community Lifelong Education Project, internal administrative arrangements, insuring instructional quality, faculty incentives and rewards, financial support, and cooperation with other colleges and universities as well as diverse community organizations.

2.0 ADULT DEVELOPMENT AND LEARNING

34:2.0/80
Educating Learners of All Ages, New Directions for Higher Education, Elin:: Greenberg, Kathleen M. O'Donnell, and William Bergquist, eds., 110 pp. (Jossey-Bass, San Francisco).

This volume contains 11 short articles on how recent theories and perspectives on adult development may inform collegiate programming for adults of all ages. The editors indicate they have been most influenced by the work of Erik Erikson, Arthur Chickering, Roger Gould, Robert Havighurst, Lawrence Kohlberg, Daniel Levinson, Jane Loevinger, Bernice Neugarten, William Perry, Jr., and Gail Sheehy.

Carol Stoel writes of the need for genuine institutional commitment to adult students. Rita Preszler Weathersby discusses ego development theory in relation to her own research on reasons adults attend college. Jill Mattuck Tarule ranges across a number of theories and then sets forth a concept of "coherence" and its educational im-

plications. Nancy Goldberg analyzes the experience at Simon's Rock College in meeting the developmental needs of the 16-year old college student. Elinor Greenberg describes the individualized educational opportunities for adults at Loretto Heights College's University Without Walls Program. Greenberg and William A. Charland, Jr., summarize Loretto Height's "Project Transition," which mainly serves "mid-life working adults (seeking) new personal and career-related directions." Kathleen O'Donnell reviews major research and policy analyses relating to educating older students. William F. Price and Jane Doyle Bromert describe the intergenerational orientation that characterizes South Dakota's Huron College. Norbert J. Hruby provides a critical evaluation of the Emeritus College at Aquinas College in Grand Rapids, Michigan. O'Donnell and William D. Berkeley describe the national Elderhostel program. Greenberg concludes by offering 20 "organizing principles for program design" to colleges planning for improved services to adults.

34:2.0/78
Adult Development and Learning, Alan B. Knox, 678 pp. (Jossey-Bass, San Francisco).

Adult Development and Learning must certainly be regarded as a milestone publication. Subtitled "A Handbook on Individual Growth and Competence in the Adult Years for Education and the Helping Professions," it is truly a comprehensive treatment of this new and expanding complex of concerns for educators interested in lifelong learning. Knox draws on a huge literature (over 1,000 references) spanning the disciplines of psychology, sociology, demography, social work, physiology, and medicine. The book is a prodigious compilation of information and also a source of useful generalizations and implications for professional practice.

The 10 chapters comprising the volume deal with the following subjects: (1) the realities of stability and change in individuals, and the assertion that adult development can be facilitated; (2) the community context for development and major social and cultural changes; (3) various family roles and patterns of family life; (4) adult performance in educational, work, and community organization settings; (5) physical condition and developmental patterns in sensory functioning and mental health; (6) personality development in adulthood, with particular reference to Erikson, Gould, Levinson, Robert White, Kohlberg, Havighurst, and Neugarten; (7) adult learning, focusing on trends in learning abilities and strategies (particularly memory and problem solving); (8) women's roles (family, work, student, self); (9) adjusting to changes in life situations (marriage, birth, change of residence, retirement, for example); and (10) a summary of major

generalizations from throughout the book, together with implications for practitioners and for social policy affecting human development. The book concludes with an appendix on "Conducting Research on Adult Development and Learning."

3.0 PLANNING AND MANAGEMENT

34:3.0/80

Problems in Continuing Education, Jerold W. Apps, 204 pp. (McGraw-Hill Book Co., New York).

This is a wide-ranging, generally thought-provoking volume that seeks to encourage planners to step back from their day-to-day work and reflect on basic issues and problems. The "problems" that Apps urges be considered are mainly conceptual, psychological, and philosophical, rather than narrowly technical or operational.

The book is in six sections, each of which has two or three chapters. In Section I, the author elaborates on the meaning of a "problem" and comments on barriers that adult education practitioners encounter in confronting fundamental problems of the profession.

Section II deals with the participants in continuing education. One chapter sets forth three "points of view about human beings"— organismic or biological, behavioristic, and humanistic—and argues against strict adherence to any one of the three. Apps then briefly considers adult psychology from the standpoint of ages and stages, life changes, intelligence, and maturity.

Section III addresses the context for continuing education. There is a fairly lengthy discussion of continuing education concepts, the varying labels used to name them, and the need for conceptual coherence. This is followed by two chapters on conceptualizing purposes. Apps suggests "improving the quality of human life" as "the overall goal."

Section IV begins with philosophical notes on the nature of knowledge, sets forth three broad approaches to curriculum planning (those associated with Ralph Tyler, Paolo Freire, and the tradition of liberal education), and closes with some guidelines for curriculum development.

Section V considers problems in implementing continuing education: relationships between teachers and learners, the fascination with gimmicks, learning theories (behaviorism, gestalt/field), individual/group/community approaches, and five criteria for selecting an instructional procedure.

The final section deals with research. Apps comments on the "predominant" (survey) approach and various assumptions that can

underlie that general strategy, and on what he calls "rational-empirical" and "intuitive" approaches. He concludes that good research would combine the latter two approaches.

34:3.0/79-1

Managing Adult and Continui Education Programs and Staff, Philip Langerman and D(.uglas H. Smith, eds., 377 pp. (National Association for Public Continuing and Adult Education, Washington, D.C.).

Langerman and Smith state that their book is for managers. "Management," they further indicate, is "the art and science of working with people in order to achieve organizational goals and objectives," and basic management functions include planning, organizing, implementing, controlling, and evaluating. Their three-part book is intended to be a "blend of conceptual understanding and application...how to ideas...(as well as) defining the rationale."

In Part One, "An Overview," the editors provide a quite comprehensive (25-page), Delphi-derived checklist of managerial competencies. Successive chapters deal with setting an appropriate climate for continuing education and with managerial role, skills, styles, and ethics.

Part Two, "Managing Programs," contains chapters on needs assessment (four types are elaborated: descriptive-subjective, descriptive-objective, prescriptive-subjective, and prescriptive-objective); program coordination and cooperation in communities; learners, agencies, and program development; community relations, focusing on advertising (with illustrative examples); financing continuing education; program budgeting and fiscal management (using a seven-step process); and evaluation (following an eight-step process).

Part Three, "Managing the Adult and Continuing Education Staff," includes chapters on relating people and tasks, effective communication with staff and building staff motivation, and organizational and personality conflict and conflict management.

34:3.0/79-2

New Directions for Continuing Education, Alan B. Knox, ed., (Jossey-Bass, San Francisco).

Launched in 1979, this is a quarterly paperback series on continuing education, broadly defined. Issues average roughly 100 pages in length and consist of approximately 10 chapters organized around a central theme. The four issues published in 1979 are summarized below. Numbers 5 through 8, scheduled for 1980, deal with use of media and technology in continuing education, effective teaching of

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adults, adult learning needs assessment and implications for marketing, and methods of reaching "hard-to-reach" populations, respectively.

Issue Number 1, entitled *Enhancing Proficiencies of Continuing Educators,* was written entirely by Alan Knox. He asserts that all categories of practitioners need three kinds of proficiencies—a perspective on the field, an understanding of adult development, and certain personal commitments. Drawing on a broad range of literature from research and practice, Knox comments on specific proficiencies desirable in administrators, teachers and counselors, and policymakers.

Number 2, *Programming for Adults Facing Mid-Life Change,* reviews studies of mid-life adjustment and explores the implications for developing continuing education programs. The book presents guidelines for marketing, counseling, and designing courses and workshops that will be useful to persons experiencing such adjustment.

Number 3, *Assessing the Impact of Continuing Education,* makes a particularly original and valuable contribution to the field, which in the past has not been greatly concerned with program evaluation. Alan Knox first sets forth his concept of "impact evaluation" and then gives a number of illustrative examples. Succeeding chapters deal with limitations of test scores, evaluations of cooperative extension programs, military literacy programs, an urban nontraditional degree program, and management training. Finally, several chapters deal with a number of general issues in assessing impact.

Number 4, *Attracting Able Instructors of Adults,* has chapters on recruitment and selection, staff development, supervision and monitoring, administrator support, reward systems, student learning as the criterion of instructor effectiveness, new strategies for attracting able instructors, and audiovisual resources.

34:3.0/74

Planning Non-Traditional Programs, K. Patricia Cross, John R. Valley, and Associates, 263 pp. (Jossey-Bass, San Francisco).

This book reports on the program of research and analysis sponsored by the Carnegie-funded Commission on Non-Traditional Study. In general, it presents survey data and informed comment on a number of issues pertinent to the progress of nontraditional programs.

Cross and Valley provide an introductory overview, discussing curriculum content, methods of delivery, the significance of academic credit, accreditation, and local planning.

Chapter 2 presents results from a 1972 survey of learning experiences and interests of American adults, carried out by Abraham Carp, Richard Peterson, and Pamela Roelfs. Based on a national sample of 2,500 households, roughly one-third of adults reported participating in organized learning during the previous year, and over 70 percent (labeled "would-be learners") were interested in further learning.

Chapter 3 reports the results of a nationwide survey, conducted by Janet Ruyle and Lucy Ann Geiselman, of nontraditional innovations at colleges and universities. Though now somewhat dated, the survey remains one of the few that reveal the range of responses in the higher education community to the special needs of adult students.

Chapter 4, by Wesley W. Walton, deals with new (1974) telecommunications technologies and how to make effective use of them. After discussing the potential of videocassettes and community antenna television (CATV), Walton puts forth the idea of a regional learning materials service center designed to aid both institutions and individual learners.

Chapter 5, by Jonathan R. Warren, comments on various approaches to awarding credit, including the familiar Carnegie unit as well as other approaches such as cooperative work, community service, and examination of competence. Warren then looks at several problems in measuring academic performance and concludes with some ideas on needed new strategies.

JB Lon Hefferlin's focus in Chapter 6 is on accreditation and legitimation of nontraditional programs, discussing state and Federal regulation, voluntary accreditation, and the many "standards that prescribe conventionality rather than quality...." He offers suggestions on new types of standards and how nontraditionalists might usefully confront the accreditation process.

Chapter 6, compiled by William A. Mahler, consists of 173 annotated references categorized into eight sections.

34:3.0/72

The Design of Education, Cyril O. Houle, 323 pp. (Jossey-Bass, San Francisco).

This book is possibly the capstone conceptual work from one of adult education's preeminent scholars. Houle's intent in this volume is to set forth a generalized framework for designing educational programs, particularly adult education activities.

In Chapter I, Houle reviews various conceptual roots that were considered in developing his design model. Chapter II gives an overview of the basic elements of the framework—his "two-part system."

After discussing several assumptions about analysis and planning in education, he outlines the two parts. The first is a typology of "educational design situations"—11 categories grouped into 4 sets (individual, group, institution, and mass). The second part consists of eight interacting design processes, beginning with (1) identifying a possible educational activity and (2) deciding to proceed, to (7) evaluating the activity and (8) considering additional related activities.

In Chapter III, the proposed model is applied to four diverse examples of adult education: a hobo school, an agricultural extension situation, an army prevocational training program, and a civic club developing a community master plan. Chapter IV is devoted to more detailed elaboration (with numerous illustrative examples) of the 11 categories of educational situations. Chapter V details the series of design components or decision points that comprise the second part of the system.

Chapter VI, which is entitled "Major Program Reconstruction," addresses the eventuality that ongoing programs may be judged to be no longer effective, and in need of complete redesign. Houle lists a number of strategies for this purpose. In the concluding chapter, the author relates his ideas to some of the theoretical strands outlined in Chapter I.

The book also has a 10-page glossary and a lengthy "bibliographic essay" that discusses key references under some 50 different headings (from "andragogy" to "therapy").

4.0 TEACHING AND LEARNING

34:4.0/76

Materials and Methods in Continuing Education, Chester Klevins, ed., 408 pp. (Klevins Publications, Inc., Canoga Park, Calif.).

Despite its somewhat pragmatic-sounding title, this book is an encyclopedic treatment of the field of continuing education, covering both philosophic and "how-to" aspects, by 72 experts in the field. A sequel to a similarly structured compendium published in 1972, the book provides brief commentaries on a host of new (1976) and innovative strategies for the education of adults. Except for chapters on the libraries, labor education, and education in the military, it is oriented toward continuing education in schools and colleges.

Part I, "Introduction," has conceptual pieces by Terrel Bell, Paul Sheats, Malcolm Knowles and Chester Klevins, and Jerold Apps.

Part II, "Program Development," contains nine articles on such topics as career development, using advisory committees, special pro-

grams for women and the handicapped, community needs assessment, and interagency communication.

Part III, "Curriculum Development," includes practical articles on performance objectives, task analysis, and selecting instructional materials, as well as commentaries focused on programs for special groups of women, fostering civic literacy, and working with the handicapped.

Part IV, "Teaching Learning Process," includes several essentially conceptual chapters on teaching/learning, adult needs/interest/motives, adult learning patterns, and the concept of a learning community, and several programmatic pieces on contract learning, counseling, peer instruction, and student self-evaluation.

Part V, "Aids to Learning," ranges across instructional technology and the mass media, the Adult Performance Level study, a critique of the Federal Adult Basic Education Program, adult learning centers and individualized instruction, teaching reading, and using libraries.

Part VI has seven articles on approaches to effective training of adult education practitioners.

34:4.0/70

The Modern Practice of Adult Education: Andragogy Versus Pedagogy, Malcolm S. Knowles, 384 pp. (Association Press, New York).

Now 10 years old, this volume has proved to be a seminal publication in the recent history of adult education. Knowles' basic thesis is that adults are different in certain key ways from young people as learners. What Knowles labels "andragogy" is described as the "art and science of helping adults learn." In addition to the conceptual advances, the book also stands as a comprehensive handbook for directors of adult learning programs.

Part I first speaks of the role and mission of the adult educator and then sets forth the theory of andragogy (with its assumption of adult/youth differences in self-concept, experience, readiness to learn, and orientation to learning).

Part II has chapters on establishing an educative and democratic organizational climate and structure; assessing needs and interests of individuals and organizations; defining program purposes and objectives; designing comprehensive programs (including illustrative designs); operating comprehensive programs (recruiting and training leaders, managing facilities, public relations and information, and financial management); evaluating comprehensive programs; and tools for planning.

Part III, entitled "Helping Adults Learn," reviews implications of the theory of andragogy for setting a climate for learning, mutual planning, diagnosing learning needs, developing models of competency, assessing learner performance, formulating objectives for learning, and designing and managing learning experiences.

Finally, a series of appendixes presents numerous illustrative statements of objectives, program designs, and diagnostic tools.

5.0 CREDITING NONCOLLEGIATE LEARNING

34:5.0/76

Experiential Learning: Rationale, Characteristics, and Assessment, Morris T. Keeton and Associates, 265 pp. (Jossey-Bass, San Francisco).

This book is the result of a set of papers commissioned by CAEL, then (1974) the acronym for Cooperative Assessment of Experiential Learning, but since reorganized as the Council for the Advancement of Experiential Learning. The papers were meant to be philosophical and theoretical, to guide the extensive, more practical work of the various ongoing CAEL projects (numerous published products which are available from the CAEL national office). The volume also has served as a statement on the realities and legitimacy of experiential learning for furthering the understanding of college and university faculty, administrators, and governing board members generally.

The book is in three parts covering, respectively, "Rationale," "Characteristics," and "Assessment." In Part I, Keeton comments on existing credentialing systems, finds them lacking, and proposes an alternative. Cyril Houle looks historically at major forms of instruction and certification. Alan Gartner takes note of the importance of credentials for the poor and otherwise disenfranchised. And Melvin Tumin raises cautionary flags about experiential learning as a "functionally equivalent substitute for traditional academic achievements."

In Part II, James S. Coleman writes about differences between experiential and classroom learning. Arthur Chickering reviews theories of adult development and presses for such development as the major general goal for American colleges. Sheila Gordon and Paul Barton write about ways to integrate learning on the campus and at the workplace. And George Weathersby and Armand Henault comment on the economics and effectiveness of experiential learning.

In Part III, Robert Kirkwood suggests, among other things, that diplomas should indicate specific accomplishments. Aubrey Forest, Joan Knapp, and Judith Pendergrass examine portfolios and narrative transcripts as assessment vehicles. Urban Whitaker writes about

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identification, selection, and training of assessors of experiential learning. Finally, Warren Willingham, after reviewing several issues and criteria, offers 23 basic requirements for sound measurement of experiential learning.

34:5.0/75
Awarding College Credit for Non-College Learning, Peter Meyer, 195 pp. (Jossey-Bass, San Francisco).

This was an early and influential book on methods for evaluating noncollege learning for college credit, written by a pioneer practitioner. Meyer helped establish a credit-for-experience program at Queens College in 1963, and he visited 14 colleges in preparing this book. In general, the procedure he sets forth emphasizes three components—student participation, effective counseling, and careful assessment by faculty.

In an interesting foreword, Harold Taylor reviews recent history, commenting, for example, on arrangements at Sarah Lawrence College and in China under the cultural revolution, and then speaks for an "alternative educational system" in this country that "values the citizen for his talents and his capacities and not for the certificates hanging on his wall."

In Chapter I, "Need and Academic Rationale," Meyer comments on the American preoccupation with credentials, on the emerging adult student movement with its interest in continuous learning as opposed to formalized teaching, and on existing barriers to granting credit for prior learning.

Chapter II, "Basic Decisions," confronts such questions as: What kinds of skills and knowledge shall be credited? Must all creditable prior learning be related to the student's educational goals? What should students pay for assessment of their prior learning? And, how should faculty be compensated for their work in the assessment process?

Chapter III, "Getting Started?" deals with three initial phases of the process of assessing prior learning—developing necessary forms and records, counseling, and offering prior learning assessment seminars to students.

Chapter IV, "Documentation," deals with assembly (into, for example, a portfolio) of various kinds of evidence of prior learning: transcripts from other schools, test scores (e.g., CLEP or USAFI), third-party validations (e.g., letters from previous work supervisors), product assessment (e.g., by faculty members), and student narratives. Numerous examples of the various types of documentation are given.

Chapter V, "Assessment and Award of Credit," discusses criteria, student–faculty trust, the importance of the student narrative, committee evaluation, amount of credit, and student appeals.

Chapter VI, "Guidelines and Recommendations," lists and elaborates 14 guidelines for institutions and closes with a recommendation for a national center for the assessment of prior learning.

6.0   COUNSELING AND INFORMATION SERVICES

34:6.0/78

The Missing Link: Connecting Adult Learners to Learning Resources, K. Patricia Cross, 79 pp. (The College Board, New York).

This book is a concise commentary on the scope of adult learning in the U.S. and on the key role of information and counseling (or "brokering") services as the "missing link" in helping adults to select learning opportunities that best meet their individual needs. Commissioned by the College Board's Future Directions for a Learning Society Project, Cross' report is based on numerous research and policy studies, as well as on literature about self-directed or independent learning. While the volume is directed to an audience larger than college and university staff, it is nonetheless of significance to higher educators, in part because of the trend to locate information and counseling units that are open to the general public on college campuses.

Cross begins by pointing to the distinction between education and learning. The former suggests organized instruction, the latter self-teaching or independent study. Both are important; brokering units should (and do) embrace both in working with potential adult students.

The author then reviews key literature on brokering functions and relevant recommendations from some 44 mostly government-sponsored policy studies, and finds substantial congruence between the two. Three general functions are distilled: (1) facilitating access to the appropriate learning resources, a process that includes access for underserved groups and advocacy for the special needs of adult learners because they are adults; (2) providing information to adult learners about available learning resources and about themselves and their strengths and weaknesses; and (3) providing counseling and referral services designed to assist learners in planning and to match learner needs to appropriate learning resources.

Subsequent sections of the report elaborate these three general "linking" or "brokering" functions. Two appendixes are included. One lists the 44 policy studies that deal with educational brokering and

lifelong learning. The other gives recommendations from these studies under six headings: (1) information; (2) counseling services; (3) provision of support services; (4) access and advocacy; (5) financial aid; and (6) credit.

34:6.0/76

Educational Brokering: A New Service for Adult Learners, James M. Heffernan, Francis U. Macy, and Donn F. Vickers, 82 pp. (National Center for Educational Brokering, Syracuse, N.Y.).

Written by three of the principal leaders of the brokering "movement," this short book (known as the "red book" by practitioners) is perhaps the key published statement on educational brokering as a set of services for potential adult learners. It is written in a highly readable style, complete with numerous quotations from both brokering staff and recipients of services.

Chapter 1 elaborates the "core activities" involved in educational brokering: information giving, referral, assessment, counseling, outreach, and client advocacy. Also reviewed are the main types of organizational structures in which brokering units have been established, ranging from "free-standing agencies" to degree-granting universities.

Subsequent chapters deal with: (2) how newly-established brokering units may select the particular services to be offered; (3) characteristics of adults typically using brokering services; (4) staffing brokering centers; (5) organizing brokering operations; (6) relating to other human services organizations in the locality; (7) reaching potential students; (8) financing brokering services; and (9) evaluating brokering work.

7.0 INFORMATION SOURCES FOR PLANNERS

34:7.0/79

1979 Directory of Resources for the Education of Adults, J. Nevin Robbins, ed., 256 pp (ERIC Clearinghouse on Adult, Career, and Vocational Education, Columbus, Ohio).

Jointly sponsored by the Adult Education Association of the U.S.A. and the ERIC Clearinghouse on Adult, Career, and Vocational Education, this publication represents an extremely comprehensive and up-to-date guide to information resources on adult and lifelong learning. The Directory is composed of 22 chapters organized into 4 parts.

Part I includes an introduction to resources for the education of adults together with a conceptual overview of the field of adult education.

Part II consists of 10 short guides to resources, each written by an experienced practitioner. The 10 topic areas include: program management, funding, instruction and learning, materials selection, professional development, problem solving, handicapped individuals, non-English-speaking learners, older learners, and self-planned learning.

Part III contains listings of: relevant national advisory councils; some 400 nongovernmental organizations with interests in adult learning; 88 university-based degree programs for educators of adults; a host of Federal and state agencies and offices; information and resource centers (including ERIC, state education department information officers, community education centers, worker education organizations, and organizations for minority groups and other special populations); research and development centers; special purpose organizations; some 150 publishers; approximately 130 relevant periodicals, and roughly 175 key books and other publications.

Part IV consists of subject and general indexes.

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Private Career Schools

Jack F. Tolbert

Rising within the conscience of postsecondary education is the specter of private career schools, or as they are perhaps better known, "proprietary schools." Perceived rather than understood, these schools have an amorphous image, as their universe can variously be conceived as so broad as to number in the tens of thousands, or as narrowly acknowledged as the presence of one local store-front nurse's aide school.

In analyzing the literature of this vague community, it is necessary to start with some definitions. There are certainly some finite entities. Accredited career schools, numbering 2,300, are easy to identify. Postsecondary career schools with a definitive occupational objective can also be counted. But then there are gray areas. Flight schools—how are they counted? Schools that might be avocational or vocational? Schools operated by societies and other private groups? Hospital-oriented programs? To put a fence around these institutions that will lead to a practical delineation and organization of the written material requires that certain parameters be drawn.

Generally, material written about private career schools and their students as defined here relates to institutions that

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meet all of the following five criteria: (1) students are beyond the compulsory age of education; (2) the programs offered have a vocational objective; (3) the courses are aimed at developing new job skills; (4) the institution is licensed by the state; and (5) the institution charges tuition.

Aside from these criteria, certain other characteristics of these institutions should be known. First, the schools usually offer short-term career training. Subjects are totally related to job skills and preparation for work. Second, most schools are oriented to one vocational area. Few offer a wide variety of courses, but many specialize within a vocational cluster, e.g., allied health, automotive, building trades, secretarial, etc. Third, the institutions are totally dependent upon student tuition for funding. Fourth, they have minimum layering of administrators, making them adaptable to quick decisionmaking. Fifth, the faculty is nontenured and noncredentialed, with selection dependent more on job skills than formal academic credentials. Sixth, there is generally a profit motive involved.

Fortunately, most current writings relate to the institutions defined above. The difficulty of definition has been skirted by writers who prefer to deal with only the easiest identified universe. One major category that will not be covered in this bibliography is proprietary correspondence schools. Although schools conducting training by correspondence probably serve more students than any other single category of private career schools, their operating process is different and the line between vocational and avocational is not clear. Accordingly, the works indicated below deal only with residential institutions with students attending classes.

For a segment of education which dates back to the middle 1800's and which some observers claim predates Harvard (Harvard according to some was opened as a proprietary institution), remarkably little has been written. The existing literature dealing with private career schools has been placed in the following five categories.

Comparison with Public/Nonprofits. Numerous studies have compared private career schools with their counterparts in the public/nonprofit sector. These studies, using a variety of research techniques, provide important insight into the operation of private career schools and the type of students they attract.

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State Agency Reports. States have conducted studies concerning the private career schools within their boundaries. Some of these reports contain important information that can be extrapolated for general use.

The Institutions and Their Students. These works are generally descriptive of the private career schools and the type of students they attract and serve.

Operating a Private Career School. This category has few publications that are available to the general public. Numerous publications important to administrators have been prepared by associations, individual schools, consulting firms, etc., but they are generally not made available.

General. Other works that do not fit into the above-mentioned categories are included here.

TOPIC ORGANIZATION

35: Private Career Schools

    1.0 Comparison with Public/Nonprofits
    2.0 State Agency Reports
    3.0 The Institutions and Their Students
    4.0 Operating a Private Career School
    5.0 General

1.0 COMPARISON WITH PUBLIC/NONPROFITS

35:1.0/74-1
Proprietary and Public Vocational Students, Wellford W. Wilms, 4 pp. (American Association for Higher Education, Washington, D.C.).

The author of this report has become the most renowned researcher in the area of comparing public and private vocational education processes during the past decade. He undertook an extensive research project to compare the effectiveness of private career schools to their public counterparts.

This publication is an overview of private career schools written in the same year that the initial phase of the author's research project was published. An important finding is the recognition and documentation of the changing population of students attending private career schools.

The report also discusses findings of a survey of presidents and chief operating officers of proprietary schools. Their perception of the

industry has many interesting commentaries. A comparison is drawn between their assessment and that of the presidents of public community colleges.

For the complete study by Wilms, see 35:1.0/74-2.

35:1.0/74-2

Public and Proprietary Vocational Training: A Study of Effectiveness, Wellford W. Wilms; 229 pp. (Center for Research and Development in Higher Education, University of California, Berkeley).

This study was designed to test the effectiveness of 21 public and 29 proprietary schools in 4 large metropolitan areas. The procedure employed was to evaluate the success of graduates from six occupational programs. Both public and private schools received mediocre marks in preparing their students for entry and competition in the labor market. In part, this was evident from the relatively low salary levels of the graduates.

The study also reported that the proprietary graduates studied were generally less satisfied with their education than their public counterparts.

Of future importance is a still to be released study by the author which provides 1980 data to update this 1974 work. Among the early findings of the new study are that proprietary school students have a 50 percent greater chance of graduating than their public school counterparts. The new study also reports that neither public nor private schools had been particularly successful in placing students in upper job levels. Success in the less skilled occupations, however, was high.

Significant controversy already has developed around this future report. Public vocational educators have called the study flawed and based on bad research. This response is similar to what happened with the 1974 report when the American Vocational Association, in a published paper, attacked the author, calling his work unscientific and the conclusion unjustified.

Wilms' assertion in his newest work that proprietary vocational schools are better at training students for jobs than public schools is strongly contested by public educators.

As reported in the press, Wilms believes much of the negative reaction is due to the study's refutation of comfortable, traditional assumptions about vocational education which educators hope to preserve.

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2.0 STATE AGENCY REPORTS

35:2.0/75

Preliminary Survey of Postsecondary Education Programs in Alaska, Jane H. Behlke, 151 pp. (Alaska University, Center for Northern Educational Research, Fairbanks).

This survey attempted to gather quantitative information on all deliverers of postsecondary education in the State of Alaska and to provide a basis for future planning by the Alaskan Commission for Postsecondary Education.

The survey provides both the type and the number of students attending various postsecondary educational programs and presents recommendations for information gathering and dissemination.

35:2.0/74-1

The Contemporary Role of Proprietary Institutions in Vocational Education in Massachusetts, George J. Nolfi, 110 pp. (University Consultants, Inc., Cambridge, Mass.).

Prepared for the Massachusetts Advisory Council on Education, this report is one of the few state studies conducted by an outside consulting firm as opposed to the state agency staff. The principal author has a wide range of knowledge concerning private career schools on the national scene.

The report is identified as only the first stage of a larger, more extended investigation of proprietary schools. This is evident in more questions being raised than answered. The data presented covers private career school education in Massachusetts in 1974. Since Massachusetts has a long history of private school tradition, an interesting analysis is possible.

A follow-on report would be most intriguing, as Massachusetts' government has recently adopted a confrontation strategy between the private career schools and the state's governance activities. It might also determine the effects of a vitriolic attack on private career schools in the state by a major newspaper in 1974.

35:2.0/74-2

Montana Proprietary Schools, Staff of the Montana Commission on Post-Secondary Education, 96 pp. (Montana Commission on Post-Secondary Education, Helena).

The status of proprietary school education in Montana and the relationship of these institutions with state and Federal agencies were studied. The data collection processes used include surveys and personal interviews.

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The report provides information on the course offerings and costs of career schools in Montana.

3.0 THE INSTITUTIONS AND THEIR STUDENTS

35:3.0/80

Proprietary Vocational Education, Steven M. Jung, 42 pp. (The National Center for Research in Vocational Education, Columbus, Ohio).

This report was prepared for the National Center for Research in Vocational Education as one of their benchmark monographs in their knowledge transformation program. As such, this paper was intended to be comprehensive in scope and provide a broad overview of private career schools.

Calling upon a great deal of his own background from prior studies he had done on private career school education, the author uses heretofore unpublished National Center for Education Statistics material in an attempt to fully describe private career school education as it exists today. Jung draws together most of the current statistical information on the public record concerning this segment of education, and from this extrapolates certain trends and forecasts future activities.

Importantly, the author had done previous research in this area, and he quotes from his prior work extensively in this monograph. This gives his findings a longitudinal effect that very few researchers could achieve. This monograph is best for the statistical information provided and the factual content. When the author attempts to extrapolate trends or to use his documentation to relate to future events, his points are of a singular view and perhaps do not represent the thinking within the proprietary educational sector itself. This in no way should take away from the value of this paper, but reflects any researcher's problem of examining a subject from the outside.

Jung also provides an updated list of previously done studies, which is another important contribution of this paper.

35:3.0/79-1

The Role of Private Trade and Technical Schools in a Comprehensive Human Development System: Implications for Research and Development, Jack F. Tolbert, 17 pp. (The National Center for Research in Vocational Education, Columbus, Ohio).

This paper was delivered to the staff of the National Center for Research in Vocational Education and was later published by the

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Center. The author was assigned to suggest research topics in the area of private trade and technical schools.

The paper presents a comprehensive overview of private trade and technical schools starting with the broad universe of schools operating in this country and narrowing down to the operation of a single institution.

The author early establishes the difficulty a private school administrator may have in conversing with collegiate educators about trade and technical education. Attention is given to the accrediting process for private trade and technical schools and the work of the National Association of Trade and Technical Schools.

In the last part of the paper, Tolbert provides a definitive description of the operation of a private career school.

An edited version of the question-and-answer period that followed presentation of the oral paper is included. This session further amplifies the points made in the presentation and provides useful commentary on some of the major points.

35:3.0/79-2

Handbook of Trade and Technical Careers and Training, National Association of Trade and Technical Schools, 43 pp. (NATTS, 1978-79 ed., Washington, D.C.).

This document, published annually by the National Association of Trade and Technical Schools, contains a listing of all schools accredited through this organization's Accrediting Commission.

Two major institutional listings are included—schools by subject area, and schools by state.

The handbook also contains information of interest to prospective students concerning the selection of a career and the institution that can provide the preparatory education required.

The handbook is the most widely distributed publication in the country today concerning private career schools, with distribution in the hundreds of thousands.

35:3.0/76

Getting Skilled: A Guide to Private Trade and Technical Schools, Tom Hebert and John Coyne, 262 pp. (Dutton-Sunrise, Inc., a subsidiary of E. P. Dutton & Co., Inc., New York).

This book is of significant importance to any student considering attending a private trade or technical school. In developing material for prospective students, the authors have captured a great deal of the history and flavor of private career schools in this country.

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Highly readable, the book is aimed at a prospective student, yet the authors provide important information to administrators on how proprietary schools can operate effectively.

Hebert and Coyne had the full cooperation of the National Association of Trade and Technical Schools in researching their material. The extension of full entrée to numerous schools permitted preparation of highly enlightening vignettes used to amplify and document findings. The success of these efforts is evident from the distribution figures and the awards won by this book.

In appealing to the primary audience—students who might be interested in a private career school—the authors suggest effective ways to evaluate the educational process. This commentary is of value for any public or private educator in vocational education.

An accurate description of what students might encounter at a private career school is presented, which provides an interesting insight into the inner workings of proprietary schools. These descriptions present the best currently available overview of how proprietary schools operate.

4.0 OPERATING A PRIVATE CAREER SCHOOL

35:4.0/79-1

"Financial Aid at Proprietary Schools: How Important Is It?," Donald E. Scheaffer, *The Journal of Student Financial Aid,* Vol. 9, No. 2, May, pp. 16-28.

The author conducted a study of California private career schools participating in Federal Financial Aid programs. The study reflects the evalution of Federal Financial Aid by chief administrative officers of proprietary schools. Other private career schools should gain insight into the operation of financial aid programs from this study.

The introduction to the study describes private career schools in general. Then the respondents provide useful information which should assist administrators in assessing whether to participate in a Federal Financial Aid program, and in evaluating their own experiences in comparison with the study results. It is unfortunate that no additional followup studies are available to further amplify the points made in this paper.

An important byproduct of this work is recognition of the mutuality of interests between private career schools and traditional higher education.

35:4.0/79-2

Keeping Students from Dropping Out of Post-Secondary Occupational Education, Richard N. Diggs, 203 pp. (Work Force Publications, Oshkosh, Wis.).

This book is an important contribution to the literature on two counts. First, it assists the private career school administrator in student retention; second, it presents significant commentary on the operation of private career schools from an experienced administrator.

The author systematically surveyed nearly 100 trade and technical schools to determine their experiences in student retention. Writing in a highly readable style, Diggs covers most areas involved in student retention. Replete with the jargon of private career school operations, the book provides numerous ideas that a school administrator can use in retaining students. Important topics include the importance of the staff in student retention, the counseling process, and activities involved with students themselves. A significant interest level is maintained through the use of illustrative stories to amplify significant points.

On a second level, this book provides a useful study of how private career schools operate. The illustrative examples are particularly informative. It is one of the few books that have been written by someone eminently qualified to write about the inner workings of trade and technical schools.

Diggs also presents a philosophical framework for the entire private career schools operate. The illustrative examples are partrepreneurs working successfully in a field dominated by public educators.

5.0 GENERAL

35:5.0/80

Schools That Do Not Seek Accreditation, Arthur A. Hitchcock, 116 pp. (Accrediting Commission, National Association of Trade and Technical Schools, Washington, D.C.).

The problem addressed in this study is: Why do schools that are eligible to apply for accreditation by the Accrediting Commission of the National Association of Trade and Technical Schools (NATTS) fail to do so, or to complete the process once started? Samples were drawn from four populations: schools that had inquired about accreditation but never applied; trade and technical schools that had never made inquiry; schools that had applied but failed to follow up; and schools that had a site visit but went no further.

Two hundred schools responded to a questionnaire. Through tests of statistical significance, it was found that: (1) there are different reasons among the four populations for not going through the accreditation process, with greater differences occurring for the population that never made inquiries about accreditation; (2) the type of school is of some significance in seeking accreditation; and (3) some differences relate to school size.

Age of school, size of student body, number of instructors, and length of program do not relate to reasons for not seeking accreditation.

The study also identified reasons for not seeking accreditation. Four were found to be statistically significant. Lack of knowledge about accreditation appeared to be the most compelling reason, as well as unfamiliarity with the benefits of accreditation.

35:5.0/75

"Schools Where Students Pay to Learn Paying Jobs," Charles G. Burck, *Fortune,* December, pp. 124-130.

This article was written for a business community audience and provides useful information concerning the business operations of private career schools. It presents a frank discussion of the competitive environment in which proprietary schools operate and the business practices that allow them to compete with the public sector.

Drawing on experiences at individual schools, Burck uses these examples to draw some general conclusions about business operations. An interesting section of the article deals with the bureaucratic maze with which private enterprises must deal. It shows the overlay of state and Federal educational bureaucracies upon existing government requirements for any small business, with resultant frustration and cost.

35:5.0/74

Proprietary Education: A Search of the Literature, Susan E. Johnson, 25 pp. (Center for Research and Development in Higher Education, University of California, Berkeley).

In this paper the author effectively lists and summarizes the literature on proprietary education through 1974. More than a bibliography, Johnson's paper shows how one researcher has drawn upon the works of others.

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Space Management and Projection

Harlan D. Bareither

Space management and projection in higher education involve activities necessary to determine and support academic program facilities requirements and to maintain facilities in operating condition. While some form of space management and projection has always been practiced by colleges and universities, it was after World War II before fairly uniform terms and procedures were developed. The massive amount of new construction required to accommodate post-World War II enrollment increases required extensive state and national level planning using comparative standards based on uniform methods of analyzing and classifying physical facilities. These developments, through 1973, have resulted in uniform procedures for space classification, program classification, and building classification throughout both Federal and state agencies as well as postsecondary institutions.

The entire subject of space management and projection can be addressed by answers to four basic questions: What space is available? (space inventory will answer this). Is the space being used efficiently? (space utilization studies will

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answer this). What facilities are required? (projections will answer this). What support level is required to properly maintain the facilities in satisfactory condition? (obsolescence studies, life cost studies, standards for maintenance, etc., will answer this). The same degree of detail is not, of course, required to answer these questions at Federal, state, and institutional levels. However, all information should be part of the same data base and be consistent in definition irrespective of level of aggregation.

From an institutional standpoint, the task of space management and projection is twofold: (1) it encompasses the basic information-gathering required for reporting to Federal and state agencies, and for preparation of internal institutional reports; and (2) it involves activities necessary to manage and maintain facilities. It has been estimated that 85 percent of the buildings which will be in use in the year 2010 are already in use now.

There are numerous references available on methodologies for collecting space data, varying in scope and detail to suit the special needs of various Federal and state agencies. This bibliography emphasizes basic procedures for data collection methods. However, readers should be alert to additional data requirements and alternative procedures required by their respective state agencies. Two state procedures are referenced as examples.

Data Collection and Analysis. The first step in space management and projection is collection of data to identify the amount of space available, the utilization of that space, and the total facilities required. The entries in this section have been selected to provide a general overview of the field and identify references to various alternative collection methodologies. Only one entry is provided in each of the General and Inventory subtopics since these two texts are considered basic primers. They represent a general overview of the field and include the necessary procedures for uniform reporting of facilities inventory data to state and Federal agencies. Both references have annotated bibliographies.

The topics Utilization and Projection contain several entries to identify major alternative procedures in these fields. Most of these references also contain bibliographies of additional source materials. The reader may also wish to consult the individual state manuals of procedures for utilization and pro-

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jection of facilities developed by many state facilities commissions.

The topic *Projection* involves many factors in addition to the physical aspects of space which are the primary focus of inventory and utilization studies. Projection of facilities involves translation of the institution's activities, as defined by its scope and mission, into facility requirements. This involves not only inventory and utilization of existing facilities, but knowledge of scheduling patterns for course offerings, enrollments by discipline and level of students, institutional philosophies, and the establishment of space standards for each type of institutional activity.

The *Statistical Information* subtopic presents examples of the various types of reports and information requested by state and Federal agencies.

Specific Space Management Considerations. This subtopic contains references that space managers may consult in meeting specialized facility requirements and in providing for efficient plant operation and maintenance. Some areas are relatively new, such as designing or adapting facilities to accommodate the handicapped. Energy conservation has always been of some concern. but now it is a matter of critical importance. The writings in these fields are often exploratory but are useful in directing initial efforts.

The entries under the subtopic *Specific Space Management Considerations* may be used at the institutional level to solve specific space management problems within existing facilities. In general, these entries outline courses of action that have been successfully pursued by others in the field of space management and represent the current "state of the art."

TOPIC ORGANIZATION

36: Space Management and Projection
    1.0 Data Collection and Analysis
        1.1 General
        1.2 Inventory
        1.3 Utilization
        1.4 Projection
        1.5 Statistical Information

2.0 Specific Space Management Considerations
2.1 Energy Conservation
2.2 Access for Handicapped
2.3 Obsolescence Studies
2.4 Building Costs, Life Costs, and Maintenance

1.0 DATA COLLECTION AND ANALYSIS
1.1 General

The following work (12:2.0/74) is cited and fully annotated in Volume I of this bibliography under Topic 12: Policy, Planning, and General Reference, but is briefly annotated here because of its relevance to this section.

Space Management and Projection, D. Kent Halstead, *Statewide Planning in Higher Education,* C'apter X, pp. 417-463. (U.S. Department of Health, Educatic?, and Welfare, Washington, D.C.).

This chapter provides an overview of the items required in data collection and the usage of the data as related to institutional, state, and Federal planning. It is a must in any space management library. The nui ierous annotated bibliographies at the end of the chapter provide additional references to the subject.

1.2 Inventory

36:1.2/74

Higher Education Facilities Inventory and Classification Manual, Leonard C. Romney, 152 pp. (U.S. Government Printing Office, Washington, D.C.).

This document was designed primarily to assist colleges and universities in the classification of building-inventory data. The manual delineates a classification system that identifies building-area categories and classifies assignable space by room use and program. Detailed appendixes cover building data, collection forms, room-inventory forms, and space category codes and definitions. The manual serves not only as a basis for uniform reporting of facilities inventory data to state and Federal agencies, but also as a guide for establishing a data collection system within institutions.

1.3 Utilization

36:1.3/71

Inventory and Utilization Study for Public Higher Education, Fall 1969, Court Washburn, David Duxbury, William Haldeman and Mary MacDonald, (California Coordinating Council for Higher Education, Sacramento).

Illustrative of the many outstanding state facilities surveys, this California study was designed to: (1) determine current availability of higher education facilities; (2) determine current efficiency of the use of these facilities; (3) evaluate existent and proposed utilization standards; (4) relate utilization rates to operation costs and capital outlay; and (5) refine capital outlay decisions through model simulation.

36:1.3/69

Theoretical Maximum Scheduling and Utilization of Classrooms, Harlan D. Bareither, 16 pp. (University of Illinois, Urbana).

This report outlines a procedure to determine the theoretical maximum scheduling and utilization possible at an institution using the existing course offerings, classrooms, and times when classes may be scheduled. Data for five institutions ranging in size from 1,000 to 30,000 were examined.

36:1.3/67

Indiana Facilities Utilization Survey for Colleges and Universities, Fall 1967, James F. Blakesley, Paul C. Bayless, W. Charles Sherwood, and Frederick H. Wolf, 272 pp. (Indiana Advisory Commission on Academic Facilities, Bloomington).

This volume is a superior utilization study of the physical facilities of Indiana colleges and universities. It contains space-inventory summaries for both residential and nonresidential areas, with emphasis on the nonresidential. Comparisons are made on a group basis by campus size, program emphasis, or source of support. Where appropriate, comparisons are made with facilities studies from other states. The depth of analysis and the clarity of presentation make this state utilization study a model in its field.

36:1.3/65

A Comprehensive University Scheduling System, V. A. Abell, James F. Blakesley, G. E. Morgan, and W. Charles Sherwood, 10 pp. (Purdue University, Lafayette, Ind.).

This report illustrates the factors involved in preparing a university class schedule, including such matters as student requests, staff availability, and rooms available. It also describes the program that combines these factors to produce the optimum schedule with respect to room utilization and staff assignments.

36:1.3/64

A Comparison of the Trimester and Four Quarter Calendars for Year-Round Operation of Public Higher Education in California, John R. Richards and others, 43 pp. (California Coordinating Council for Higher Education, Sacramento).

This work is directed specifically to the question: What type of calendar is preferable for year-round operation of higher education facilities? The text suggests that the trimester arrangement is more advantageous with respect to providing for faculty sabbatical, accelerating graduation, and minimizing recordkeeping. The 4-quarter calendar is seen to be more advantageous with respect to effective flexibility in faculty and/or student options, achieving a consistently balanced enrollment, and sustaining articulation with secondary schools and other institutions of higher education. Any differences in operational costs—excluding capital outlay—between the 4-quarter system and the trimester were judged not important enough to warrant rejection of the former.

1.4 Projection

36:1.4/78

Refinements to COU Space Standards, A Report of the Subcommittee on Revisions to Building Blocks, 117 pp. (Council of Ontario Universities, Toronto, Ontario).

This report gives the most recent recommendations on refinements to the building block series on space standards that was published in 1972. The first section of the report provides a commentary on the work of the subcommittee, and the second part provides a more detailed examination of each space category according to the data collected, the input measures used, and the rationale for the space factors that have been adopted.

36:1.4/71-1

Higher Education Facilities Planning and Management Manuals, seven volumes, Harold L. Dahnke, Dennis P. Jones, Thomas R. Mason, and Leonard C. Romney, 393 pp. (Western Interstate Commission for Higher Education, Boulder, Colo.).

These seven manuals in a looseleaf binder are intended to be used as handbooks from which institutional planners may select a methodology for evaluating the capacity of existing college and university facilities and for projecting future facilities requirements. The manuals are designed to inform users as to what data must be available before planning can begin, as well as the procedures to follow in using the data for evaluative or projective purposes. In addition, the manuals give illustrative values of unit floor areas which users can employ as criteria in the absence of directly applicable values at their own institutions.

Manual One, which contains an overview of the complete set, includes an introductory discussion of the facilities planning cycle and an essay on the possible effect that changing instructional techniques may have on the facilities planning process. Manuals Two through Five describe the procedures for evaluating and projecting the requirements for various types of space: classroom and class laboratory facilities, office and research facilities, academic support facilities (library, audio-visual, exhibition), and general support facilities (athletic, recreational, residential, dining, and student health facilities). Manual Six describes the program planning and analysis procedures which are the basis for the facilities planning process. This manual also includes a proposal for system-wide or system-level evaluation of the output of institutional facilities planning systems. Manual Seven contains pertinent general reference material: a glossary, bibliography, index, and table of contents.

36:1.4/71-2

Space Factors and Space Utilization Values for Use in Meeting the Facility Needs of the Texas Colleges and Universities, James R. Woolf, 49 pp. (Coordinating Board, Texas College and University System, Austin).

This report identifies the space factors, recommends space utilization values, and outlines a reporting procedure for projection of physical facilities for Texas colleges and universities. The report also surveys the literature on the standards other states use in meeting facility needs.

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36:1.4/68-1

University Space Planning, Harlan D. Bareither and Jerry L. Schillinger, 153 pp. (University Microfilms International, Ann Arbor, Mich.).

The authors have written a basic reference for evaluating university space requirements, covering methodology, unit areas, and utilization rates. An analytical method to define, analyze, and project space requirements systematically is also included. The underlying factors and recommended values that can be altered by the user within the framework of a proposed "numeric method" are explicitly identified. Numerous charts, tables, and architectural drawings supplement the text. Also included is an extensive appendix illustrating the complete planning process for an academic building. This book will be particularly useful for cases in which institutions have not established a basis for projecting space requirements objectively.

36:1.4/68-2

Planning Guidelines for Construction of Facilities at the State-Supported Colleges and Universities in Colorado, Colorado Commission on Higher Education, 46 pp. (CCHE, Denver).

This pamphlet contains a tabular presentation of 17 building standards and utilization factors useful in planning higher education facilities, specifically: utilization standards, unit space allocation factors, various planning ratios, and optimum scheduling guides. Special planning criteria for classrooms, class laboratories, research laboratories, offices, libraries, and other specific room types are also reviewed.

36:1.4/66

Space and Utilization Standards, California Public Higher Education, Franklin G. Matsler, 78 pp. (California Coordinating Council for Higher Education, Sacramento).

A manual of classroom, laboratory, library, and office space standards, this work contains material obtained in part from an extensive 1963 analysis of the three segments of the California public higher education system—public junior colleges, state colleges, and the University of California. The standards proposed in this report include: (1) standards for classrooms and seminar rooms; (2) standards for laboratories categorized into upper and graduate division, lower division, and subject field area; (3) office standards based on space for full-time instructional staff members; and (4) library facility standards for junior colleges.

This work also includes a summary of existing utilization rates for classrooms and laboratories in the three segments.

1.5 Statistical Information

36:1.5/80

Statewide Space Survey—A Survey of the Amount and Utilization of the Space Available for Higher Education in Illinois, Fall Term 1979, State Board of Higher Education, 86 pp. (State Board of Higher Education, Springfield, Ill.).

This report illustrates some of the statistical information with regard to physical facilities that are used in state-level planning. The information supplied in this report is usually sufficient for completing the general data requested in the Higher Education General Information Survey report on physical facilities.

36:1.5/78

Facilities Inventory and Space Utilization Report—Ohio Institutions of Higher Education for Fall 1977. Ohio Board of Regents, 159 pp. (Ohio Board of Regents, Columbus).

This report illustrates the information gathered on physical facilities to assist in making managerial decisions regarding the need for and use of facilities in Ohio institutions of higher education.

36:1.5/74

Inventory of Physical Facilities in Institutions of Higher Education, Fall 1974, Richard J. Peterson, National Center for Education Statistics, 74 pp. (U.S. Government Printing Office, Washington, D.C.).

This publication summarizes the data obtained from the Higher Education General Information Survey on physical facilities. The data are reported by institutional control, level, and enrollment size.

36:1.5/69

Federal Support for Higher Education Construction, Current Programs and Future Needs, 290 pp. (U.S. Department of Health, Education, and Welfare, Office of Education, U.S. Government Printing Office, Washington, D.C.).

While this report is somewhat obsolete, it illustrates the use of statistical information obtained by Higher Education General Information Survey to develop a plan of action for Federal funding.

2.0 SPECIFIC SPACE MANAGEMENT CONSIDERA-TIONS

2.1 Energy Conservation

36:2.1/80-1

"Engineering Audits at State-Owned Buildings in Minnesota," Eric Hirst, *ASHRAE Journal*, Vol. 22, No. 6, June, pp. 47-49.

This paper is a summary and discussion of engineering audits performed on 270 buildings at 41 institutions owned by the State of Minnesota. Over 2,000 individual energy conservation opportunities were recommended. It is estimated that implementation of the recommendations will cut energy usage by 32 percent. The payback period for implementing the projects is shown and indicated by changes to: (1) the envelope of the building; (2) the mechanical system; (3) the power plant; and (4) the heating, ventilating, and air conditioning (HVAC) system. Changes to the HVAC and the power plant tend to show very short payback periods whereas changes to the envelope have very long payback periods.

36:2.1/80-2

"Building Energy Performance Criteria—Energy Performance Data," L. G. Spielvogel, P.E., **"Energy Performance for New Buildings (BEPS),"** Neil R. Patterson, **"Energy Accounting Systems,"** Alfred Greenberg, P.E., *ASHRAE Journal*, Vol. 22, No. 1, January, pp. 46-56.

These three articles are the result of a seminar on building energy performance conducted in June 1979. Two of the articles discuss existing buildings and the other is concerned with new construction. It is important to note that 85 percent of the buildings which will be in use in the year 2010 are already in use now. Therefore, energy efficiency efforts must be directed toward existing buildings as well as new construction. The articles provide data to give ranges of energy uses for various types of buildings, and comment as to possible routes to follow in developing building energy performance standards and developing a national registry of buildings that would establish a data bank giving ranges of energy utilization for various building types and fuels used.

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36:2.1/80-3

Energy Cost and Consumption Audit Report, The Association of Physical Plant Administrators of Universities and Colleges, 341 pp. (APPAUC, Washington, D.C.).

This report was initiated by the Energy Task Force sponsored by the American Council on Education (ACE), the National Association of College and University Business Officers (NACUBO), and the Association of Physical Plant Administrators of Universities and Colleges (AFPA). The report establishes a data gathering procedure for all forms of energy consumption at institutions of higher education and provides the data in various formats to facilitate comparison with similar institutions by size and location.

36:2.1/79

Energy Alert 79-1; Energy Audit Problems, Suggested Procedures for Energy Audits, for use under Title III of the National Energy Conservation Policy Act of 1978 (Public Law 95-619), The Association of Physical Plant Administrators of Universities and Colleges, 31 pp. (APPAUC, Washington, D.C.).

This publication provides a brief summary of the National Energy Conservation Policy Act (NECPA) with respect to energy audits, and includes portions of the Energy Audit Procedures of the Ohio Board of Regents.

36:2.1/78

The Economy of Energy Conservation in Educational Facilities, Educational Facilities Laboratories, 96 pp. (EFL, New York).

This book contains information for identifying and correcting sources of energy waste in existing buildings. It also offers guidelines for selecting electrical and mechanical equipment by what it will cost to operate in the long run instead of by the least initial cost. It stresses the importance of training operating and maintenance personnel to use new and sophisticated equipment in educational buildings. The book also has an appendix with a selected bibliography on energy conservation.

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36:2.1/77

Energy Management for Colleges and Universities, National Association of College and University Business Officers, 140 pp. (NACUBO, Washington, D.C.).

This book is based on a manual developed by the Energy Task Force for use in a series of energy management workshops. The book provides information on determining the problems and benefits in developing and implementing effective energy management programs. Information is given on energy availability, conversion, use, and waste. Procedures for establishing an energy data base and various approaches to energy conservation are presented. The implementation of conservation measures at several institutions is provided as examples.

2.2 Access for Handicapped

36:2.2/78-1

Creating an Accessible Campus, Maggie Coons and Margaret Milner, 143 pp. (Association of Physical Plant Administrators of Universities and Colleges, Washington, D.C.).

This document has been developed to aid institutions in meeting the June 30, 1980, deadline of the Department of Health, Education, and Welfare for full compliance with the requirements of the Rehabilitation Act of 1973. Based upon a series of seminars and other related activities of the Association of Physical Plant Administrators, the publication outlines the problems of the handicapped, the requirements of Section 504, and the procedures for planning and designing facilities to provide complete accessibility for the handicapped.

Several chapters explain the need for program accessibility, but the most useful part of the book is the "how to" sections. After a clear explanation of Section 504 regulations, including a list of deadlines and provisions of the law, remaining chapters discuss the key elements of a plan for program accessibility. These include: a chapter on setting goals and priorities and forming a "campus access team"; a facility inventory, including survey sheets and a list of organizations that provide technical assistance; a section on designing new facilities with accessibility in mind; special considerations for auditorium, dining hall, post office, science lab, and other "special spaces"; providing instructional aids; suggestions for improving resource utilization; and a list of potential funders.

This is an excellent guide for the campus administrator involved in implementing a plan for program accessibility. The survey sheets, technical information (including illustrations), specific suggestions for

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modifications and technical and financial assistance, and—perhaps most important—the consistently clear presentation make this a valuable resource for all campus facility planners facing this issue.

36:2.2/78-2
Accessibility Standards Illustrated, Michael A. Jones, 217 pp. (Capital Development Board, Springfield, Ill.).

This reference describes the revised standards aimed at improving access to publicly used buildings in the State of Illinois for handicapped persons. The reference has been produced in illustrated format, complete with problem statements received from interviews with disabled people and from data gathered by unobtrusive observation of them in the course of their using the physical environment.

2.3 Obsolescence Studies

36:2.3/81-1
"Funding Model for Building Renewal," Douglas R. Sherman and William A. Dergis, *NACUBO Business Officer*, February, 4 pp.

This article describes the development of a formula that will indicate the funds required each year to maintain the facilities of an entire system in a satisfactory manner. The calculations take into account the current building value and the age of the building since last renewal. Although the calculations are made for each individual building, they do not indicate the amount of money to spend on that building in that year, but rather develop a "pool of funds" from the funds generated by the individual buildings to form a total renewal fund for the entire system. The "pool of funds" is then used to support the major renewal projects that are to be undertaken during the year.

36:2.3/81-2
Using Facility Audits for Deferred Maintenance, William J. Griffith, 69 pp. (Unpublished report at Ohio State University, Columbus).

This report outlines a procedure for conducting an audit of the physical condition and the functional adequacy of facilities. The physical condition of the facilities is evaluated by analyzing the primary structure, secondary structure, service systems, and safety standards. The functional analysis examines the suitability of each building for its present occupancy, as well as for other programs.

Each element of the audit has many components to be examined, and each element is given a weighted value. After the audit is com-

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pleted, the component values can be summed to determine the estimated cost for bringing all the buildings up to peak condition. In addition to evaluating the condition of buildings, the procedure also evaluates the condition of service systems. Sample calculations are provided.

36:2.3/80

Procedure and Instructions for the Facilities Evaluation Study — 1980, 33 pp. (Tennessee Higher Education Commission, Nashville).

This reference describes the procedures and instructions for completing a physical facilities evaluation summary that was used in the State of Tennessee. The study evaluated each building in terms of components within the primary structure, secondary structure, service systems, functional standards, and safety standards. Each component had specific maximum values, and the ratings given were some portion of the maximum. The sum of the ratings provided a building rating and gave an indication of the amount of funds required to remodel the facility in terms of replacement costs.

This evaluation is scheduled every 4 years. The results of the 1980 study will be available in or about May 1981.

36:2.3/76

Building Quality Evaluation Procedures Manual, Howard R. Boozer, 26 pp. (South Carolina Postsecondary Education Commission, Columbia).

This manual sets forth a method for systematically inspecting building components and for assigning points to them based on comparison with components in new or satisfactorily remodeled facilities. The total point values of all components can be translated into a building condition category and will provide a basis for determining priorities for renovation.

36:2.3/70

Obsolescence Report, Home Economics Building, University of Wisconsin, Madison, Wisconsin, 14 pp. (Bureau of Capital Development, Madison, Wis.).

This report outlines the procedures followed to evaluate a 1912 building constructed for teaching home economics to determine whether it should be remodeled or razed. Recommendations in this study were that the building be remodeled to extend its useful life.

36:2.3/68

Guidelines for Planning in Colleges and Universities, Volume 4—Physical Plant Planning Facility Studies, Charles Pinnell and Michael Wacholder, pp. 65-81, (Coordinating Board, Texas College and University System, Austin).

In addition to presenting techniques for estimating institutional facility requirements, this volume provides information and procedures for making a qualitative analysis of existing facilities. The ultimate goal of the system was to classify the buildings in one of the following categories: (1) satisfactory—no modification required during the planning period; (2) satisfactory—minor modifications required; (3) unsatisfactory—major alterations and modifications required; or (4) unsatisfactory—should be demolished.

2.4 Building Costs, Life Costs, and Maintenance

36:2.4/78

Comprehensive Maintenance and Repair Program, Guidelines and Standards for the Maintenance and Repair of State-Owned Facilities, 143 pp. (Department of General Services, State of Maryland, Baltimore).

This document provides the guidelines and procedures for a comprehensive and continuing maintenance and repair program for all state-operated public improvements in the State of Maryland. The program is described in 10 chapters that deal with the principal elements of facility operation and maintenance. The chapter titles are: 1 — Scope and Responsibility of the Maintenance Organization; 2 — Organization and Administration; 3 — Policies and Procedures; 4 — Budget; 5 — Building, Site and Utility Distribution Standards; 6 — Central Heating and Cooling Plant Operations; 7 — Custodial Management; 8 — Plant Maintenance and Operations Organization; 9 — Staffing Patterns; and 10 — Maintenance Program Management.

36:2.4/77

Space Realignment, Renewal, and Replacement, Harlan D. Bareither, 9 pp. (Unpublished report at University of Illinois, Urbana-Champaign).

This report provides a framework for budgeting the necessary funds to prevent deterioration of physical facilities. The assumptions were made that a building can function indefinitely with proper maintenance and that there would be no deterioration of the building's foundation, superstructure, and exterior skin, elements which normally constitute one-third of the total construction cost. Using the

assumption that higher education institutional buildings undergo one complete remodeling every 50 years and the equivalent amount of remodeling in the form of space realignment, renewal, and replacement, this report shows how the funds needed annually for this latter form of remodeling can be calculated.

36:2.4/75
Industrialized Forum, Vol. 6, No. 3-4, (University of Montreal, Canada).

This issue of the *Industrialized Forum* reports on life-cycle costing. It gives consideration to long-term economics as a systematic basis for building procurement and design, both in theory and practice. Various examples are examined in detailed form from which experience may be gained and general recommendations developed.

36:2.4/72
Report of the Task Force—Building Costs, Task Force of the Council of Ontario Universities, 85 pp. (Council of Ontario Universities, Toronto, Canada).

This is the work of a task force established to study building costs, life costs, and other related matters. The report provides a comparison of the costs of building elements related to design requirements for selected university and nonuniversity buildings in Ontario and introduces the theory and substance of life cost studies and their benefits.

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Student Affairs

Arthur Sandeen

Student affairs consists of the various services and pro-
grams that institutions provide to assist students in their per-
sonal development, especially those not relating directly to
classroom instruction. Administrators charged with the respon-
sibility of designing effective educational policies and programs
should know that extensive change and expansion has taken
place in student affairs programs and in the quality and quan-
tity of the literature during the past decade. In many areas, stan-
dards of good professional practice have been established and
extensive research on the effectiveness of the programs is being
conducted. The references presented here have been selected to
assist college and university administrators who want to im-
prove the quality of the student-institution relationship, the
level of services offered to students, and the overall student
learning environment.

There is a voluminous and diverse literature in student af-
fairs. However, much of it focuses on individual campus prob-
lems or very specialized concerns. Another substantial portion
lacks sufficient research foundation to be of real value to plan-
ners. Only references of apparent usefulness to administrators

and academic planners and of acknowledged high quality are cited.

The bibliography consists of six parts:

General Issues. This subtopic includes major comprehensive publications in the student affairs field. While they may contain helpful sections on specific issues, their primary value is in the broad overview presented. Excluded are references which lack documentation or which present only survey-type discussions of the field.

Career Development and Counseling. References in this subsection relate to efforts by institutions to enhance the academic, personal, and vocational planning strategies for students. Emphasis is on delivery systems and organizational issues. Detailed psychological theories and analyses of mental disorders are not included.

Student Residential Life. Attention is primarily directed here to the educational benefits of student residences and to ways in which the institution can adapt residence facilities to meet its special needs. The social-cultural advantages of residence arrangements are stressed. Excluded are undocumented commentaries on housing programs and highly specialized journal articles.

Student Rights. While avoiding specific legalistic concerns, this subtopic emphasizes references that can assist administrators in establishing fair educational practices and policies, while respecting the individual rights of students. Legal briefs and lengthy court opinions are not included.

Student Health Services. This subtopic includes references that identify major issues and problems in the delivery of physical and mental health services. Emphasis is placed upon applicability to campus-wide problems in student health. Technical reports on specific diseases or references addressed primarily to a scientific or medical audience are not included.

Student Athletics. The administration of college athletics is addressed together with issues and problems. The references were selected on the basis of their contribution to establishing good practices and expanding services to all students. Excluded are analyses of individual sports, technical reports on physical education, and undocumented discussions of sports issues.

Additional literature related to student affairs can be found under Chapter 4, Educational Opportunity; Chapter 16,

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Student Characteristics and Development; and Chapter 19, Admission/Articulation/Retention. The administration of student financial aid programs is usually the responsibility of the student affairs division on the campus; however, it is not reviewed here because it is presented in a separate chapter (17).

TOPIC ORGANIZATION

37: **Student Affairs**

1.0 General Issues
2.0 Career Development and Counseling
3.0 Student Residential Life
4.0 Student Rights
5.0 Student Health Services
6.0 Student Athletics

1.0 GENERAL ISSUES

37:1.0/80-1

Student Services: A Handbook for the Profession. Ursula Delworth, Gary R. Hanson, and Associates, 503 pp. (Jossey-Bass, San Francisco).

Delworth and Hanson have edited a book that is designed to identify, assess, and evaluate the ideas and competencies that can influence students in positive ways. The book is aimed at the experienced professional, but the beginning graduate student in higher education and those responsible for institutional management will also find it informative and useful. Delworth and Hanson, who authored 2 of the book's 21 chapters, selected a diverse group of practitioners to write the others. History, theories, models, and current practices are presented.

The book has five major parts: (1) Growth and Status of Student Services; (2) Theoretical Bases of the Profession; (3) Models for Practice; (4) Essential Competencies and Techniques; and (5) Organization and Management. Part 3, which presents models for the administrator role, the counselor role, the student development educator role, and the campus ecology manager role, is especially useful for campus managers. The chapters in this part have been written by respected and experienced practitioners, and they suggest different approaches in student services that can be adapted to meet institutional needs. The final section of the book, which includes chapters on organization, management tools, evaluation, staff development, and planning for change, is also worth noting for the campus manager.

The conclusion, written by the editors, discusses the structure of the profession and recommends a curriculum for those planning such programs. It is perhaps the strongest chapter among the 21 in the book.

For those institutional managers seeking to learn about the student services function in higher education and to organize these services in ways that can positively influence student growth and development, Delworth and Hanson's book is probably the best single source. It goes beyond the mere description of services and focuses on a diversity of approaches that can improve the educational program of the institution.

37:1.0/80-2

Understanding Student and Faculty Life. Leonard L. Baird, Rodney T. Hartnett, and Associates, 299 pp. (Jossey-Bass, San Francisco).

This book is important for institutional managers and administrators because it suggests effective ways to make meaningful assessments of the learning environment. As the authors note, most measurement efforts have been directed at individuals. Recent advances have been made in the measurement of environments, and this information can be of considerable value to those responsible for curriculum, personnel, facilities, planning, and policy. In this book, the authors present a discussion of these matters, as well as a very helpful directory of leading instruments for assessing campus environments. Over 20 usable instruments are described in detail.

Administrators interested in improving the quality of the campus learning environment will pay careful attention to information gathered from the use of these assessment instruments. Baird and Hartnett, both senior research psychologists at the Educational Testing Service, are experienced and respected in this field, and they have provided a highly usable reference to the higher education community with this book.

37:1.0/79

Serving New Populations, Patricia Ann Walsh, ed., 104 pp. (Jossey-Bass, San Francisco).

In recent years, increased attention has been given to the education of such special groups as older adults, the handicapped, and women. With the growing interest of these populations in higher education and with the shrinking number of traditional college-age students in the 1980's, more institutions will be reviewing and

evaluating their current programs, services, and policies in order to attract such students.

This book addresses itself to the responsiveness of community colleges to the needs of older adults, the handicapped, and women. The book attempts to provide a basic understanding of the scope and complexity of each group's educational needs and presents exemplary programs representing new departures to these students.

There are 14 chapters in this volume, describing actual programs that are operating successfully. The most valuable selections are: Chapter 2, "Emeritus College: Learning from Here to Eternity," in which author Jared Sharon explores how to set up a college-within-a-college designed for and directed by older adults; Chapter 7, "Paraprofessionals in Exceptional Student Settings," wherein author Grace Hodgson describes how paraprofessionals can be trained to conduct direct service work with handicapped individuals; and Chapter 11, "Equity: Not for Women Only," in which Anne Stewart demonstrates ways in which institutions can develop effective responses to women's needs while engaging in a minimal shifting of resources.

The final chapter in the book, written by Roseann Marie Cacciola, identifies very useful bibliographic sources and provides information on special programs for special populations.

While this volume was prepared for use in community colleges, higher education managers at senior institutions will find it a valuable resource.

37:1.0/78

The Rites, Roles, and Styles of the Dean, James R. Appleton, Channing M. Briggs, and James J. Rhatigan, 124 pp. (National Association of Student Personnel Administrators, Portland, Ore.).

This book is of value to those who desire to learn about the complex functions, responsibilities, and objectives of chief student affairs administrators. The book draws on the experience and professional styles of eight successful student affairs deans, each of whom has served as president of the major student affairs national association. Emphasis in the book is upon the underlying values and competencies that seem to be associated with successful student affairs administration. The various chapters of the book are largely the result of carefully structured interviews conducted on the campuses of the eight administrators. Concepts and principles constitute the focus of the book.

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While the book presents no statistical data or results of formal studies, it is among the most useful available in gaining a better understanding of the administrative leadership in student affairs. There are 12 chapters, on topics ranging from history, planning, and authority to decisionmaking, staff training, and the future.

One chapter, entitled "Authority: Given, Earned, Presumed, Lost," discusses the basis for authority for student affairs administrators and the constraints placed upon that authority. Suggestions are made to deans regarding the establishment of authority on the campus and the impact such authority may have upon program effectiveness.

Another chapter, "Some Plan, Some Play Catch-Up," analyzes the administrative planning process. Emphasis is placed upon the theme of planning in establishing and maintaining effective educational environments for students. The authors suggest that steps must be taken to clarify goals and to evaluate the effectiveness of efforts made to reach these goals.

One of the most valuable chapters is entitled "Decisions, Decisions, Decisions." It presents a number of views of the decisionmaking process for student affairs administrators and discusses in detail such concepts as timing, identification of issues, anticipating the precise action required to resolve an issue, the degree of student and faculty involvement in decisions, implementation, and political realities.

The chapter on staff training and development presents personal examples of professional development that provide an interesting perspective on this issue. Suggestions are also made for establishing campus programs.

In a valuable chapter called "Kisses of Death," 18 examples of administrative behavior are insightfully analyzed and probable consequences suggested. Some of the behaviors discussed are under-consultation, lack of humanity, under- and over-delegation, misapplication of useful strategies, professional dishonesty, and lack of leadership. The chapter is particularly useful in the perceptive analysis it presents of the role of the student affairs administrator.

For those interested in learning about the complex responsibilities that student affairs administrators assume in higher education, this book is indispensable.

37:1.0/77
College Student Personnel Services, William T. Packwood, ed., 530 pp. (Charles C. Thomas Publisher, Springfield, Ill.).

This book attempts to present a comprehensive introductory review of the services colleges and universities offer students.

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Packwood, previously coordinator of the College Personnel Graduate Program at the University of Iowa and now a faculty member at Louisiana State University, has edited this book with six of his colleagues.

Exhaustive reviews of the literature for each student service are presented, as well as indepth analyses of major problems and issues in the profession. Each chapter includes a brief history of the particular student service, a definition of that service, and a discussion about administration, programs, and personnel. An extensive list of references is provided at the end of each chapter.

The 16 chapters cover the following services: admissions, financial aid, orientation, housing, student activities, college union, religion, ombudsman, discipline, security, health, counseling, placement, graduation, alumni, and junior colleges. There are two forewords in the book, one by Theodore Miller of the University of Georgia and the other by Clyde Parker of the University of Minnesota. These provide examples of recurring issues and problems in student affairs and include helpful analyses of likely future developments. Parker's description of special programs for the emerging needs of women students at the University of Minnesota in 1916 bears a remarkable resemblance to descriptions of such efforts being made in 1980. A similar summary of a series of seminars on student retention in 1928 could have been substituted for any of the scores of such writings on that topic today. The book presents useful historical data as well as corresponding research on the particular service, which can be valuable to the needs of educational planners.

The authors intend to provide the knowledge base upon which needed theory and research in student affairs can be built. While there are extensive literature reviews, the development of theory is left to the reader. With such diversity in institutions in this country, it is unlikely that any one theory of student development will emerge that can effectively serve the needs of all institutions. The authors have emphasized commonalities as well as differences among the various student services. Nonetheless, the book provides higher education planners with an excellent overview of the major issues and problems in each area of student affairs.

The chapters on admissions, student health, and placement are the most valuable and among the best available. For example, in the section on admissions, procedures such as open door, rolling admissions, regular admissions, early decision, deposits, quotas, interviews, applications, and entrance requirements are discussed. These can prove helpful in planning for changes in student enrollment or in the analysis of student enrollment patterns.

Packwood's book presents much information on a diversity of student affairs services. With its extensive bibliographies and its emphasis on historical precedents, it is very usable book for those charged with managing and developing services for students.

37:1.0/76

The Future of Student Affairs: A Guide to Student Development for Tomorrow's Higher Education, Theodore K. Miller and Judith S. Prince, 220 pp. (Jossey-Bass, San Francisco).

This book represents the second phase oi an American College Personnel Association project designed to examine the future of college student affairs administration. The first part of the project produced the volume by Robert D. Brown entitled *Student Development in Tomorrow's Higher Education: A Return to the Academy.*

This second volume presents a new conceptual model for the practice and administration of student affairs in the future. The basic focus of the publication is upon an effort to individualize the process in higher education. The book's two primary purposes are to provide basic principles of human development concepts in higher education and to describe specific strategies that can be used to apply these concepts to the campus. Additionally, many examples of student development programs now operating successfully on various campuses are presented.

Chapter 1, "Rationale," discusses specific behaviors deemed important for institutions to encourage in their students, such as mature interpersonal relationships, purpose, career direction, and intellectual and moral development.

Chapter 2, "Setting Goals," suggests ways in which student affairs administrators can plan educational programs that are supportive of student development.

"Assessing Individual Growth" is the focus of Chapter 3. It describes various methods of examining the development stage of individual students. Additionally, helpful information is presented about applying the results of assessment efforts.

Chapter 4 addresses the instruction process. Student affairs administrators are urged to integrate student development programs with the established curriculum in an effort to reach all students. Suggestions are made regarding the organization of such instruction and the needed backgrounds of qualified instructors.

Chapter 5, "Consultation," offers insights to administrators, especially in their role with campus student groups. Emphasis is also placed upon the knowledge and skill of the student affairs consultant.

"Environmental Management" is the focus of Chapter 6. Several principles are advanced as being essential to an effective learning environment for students. Specific examples of environmental management are also presented.

Chapter 7, "Evaluating Programs," presents information about ways to improve accountability in student affairs administration. Also included are suggested skills needed for the development of evaluation programs.

Chapter 8, "Organizational Context," discusses management by objective, and also presents essential characteristics of a student affairs organization that are supportive of student development.

Chapter 9, "Integrating Programs," includes detailed presentations of three institutional programs that effectively illustrate how academic and student affairs programs can be coordinated to the benefit of student learning.

The appendix includes several topically categorized examples of effective programs of various institutions and an extensive list of contact persons. This book is important in that it suggests the development of human concepts as the primary goal of any student affairs administration. The book is an essential resource, presenting valuable suggestions for administrators.

37:1.0/75

Student Personnel Work: A Program of Developmental Relationships, E.G. Williamson and Donald A. Biggs, 390 pp. (John Wiley & Sons, New York).

E.G. Williamson was the most influential writer and educational leader in the student affairs field from 1937, when he chaired the Committee on Student Personnel Work for the American Council on Education, until his death in 1978. This is his final book, written with his University of Minnesota colleague, Donald Biggs, in 1975. It updates Williamson's landmark book in the field published in 1961, *Student Personnel Services in Colleges and Universities* (McGraw-Hill, New York).

The authors feel that student personnel work is conceived and designed to aid students in striving to achieve self-fulfillment as human persons. They center their critical review and appraisal on various collegiate relationships and experiments designed to aid students in their personal development. In personal development, Williamson and Biggs include the dimensions of rationality, maturity, career development, esthetic sophistication, and ethical commitments.

This book is essentially a text of administrative, managerial, and developmental strategy to be achieved through interpersonal relation-

ships. As such, it is essential reading not only for administrators of student affairs programs, but also for planners charged with designing educational environments conducive to human student growth.

There are 13 chapters, including very useful ones on staffing and budgeting student affairs programs, student organizational activities, the values of research on students, and an agenda for future directions for the field. The most valuable section of the book for higher education planners is Chapter 4, "Changing Model-Roles of Student Personnel Work." Here the authors present examples of several campus programs that have made successful adjustments to student needs. Programs from such a diversity of institutions of higher education as Evergreen State College, the Pennsylvania State University, Santa Fe Community College, Drake University, the University of Southern California, and William Rainey Harper College are discussed. Of particular note to higher education planners is the well-described program at the University of Southern California, where each major academic unit on the campus has developed the position of assistant dean for student affairs.

This book presents a comprehensive overview of student affairs and includes very helpful reviews and analyses of current issues and problems in the field. The inclusion of descriptive programs on existing campuses makes this publication among the most valuable in the past decade.

37:1.0/74

Humanizing Student Services, Clyde E. Blocker, ed., 112 pp. (Jossey-Bass, San Francisco).

This volume examines student personnel services at community colleges in their positive and negative aspects and makes suggestions for their improvement. While student services have existed for many years at community colleges, they often have lacked a conceptual base upon which educational services can be built, and they have not always been tailored to individual needs of students. This book is addressed to these problems in community colleges.

Blocker, a community college president, has assembled an impressive group of professionals as authors of the various chapters. An admissions director, a dean of students, an instructional dean, a college counselor, a state higher education official, and a research educator are among this group. The 10 chapters include such topics as the experience of learning, student finances, the problems of minorities, directions in governance, and student activities.

The most valuable chapter in the book is written by Terry O'Banion, entitled "Counseling and the Emerging Model of Student Development." The author, perhaps the country's most influential

writer on student services in community colleges, discusses personal
development courses at various community colleges and lists the ad-
vantages of offering a curriculum in human development. He suggests
that such a curriculum, through its human development courses, of-
fers the counselor a new framework for meeting the needs of new
students. It is this organizational and instructional model for human
development that is worthy of careful examination by higher educa-
tion planners. If, as O'Banion suggests, the positive impact of the in-
stitution can be improved by such an integration of academic affairs
and student affairs programs through the regular curriculum, many
students may be more successful in achieving their educational objec-
tives. O'Banion also makes several valuable suggestions for improve-
ment in the professional preparation of community college student af-
fairs staff.

The final chapter provides useful additional sources and infor-
mation on humanizing student services in community colleges.

37:1.0/72
**Student Development in Tomorrow's Higher Education — A
Return to the Academy,** Robert D. Brown, 55 pp. (American
Personnel and Guidance Association, Washington, D.C.).

In 1968 the American College Personnel Association established
a committee to develop a strategy for examining the future of college
student personnel work. The project was called "Tomorrow's Higher
Education" (THE), and its essence was to reconceptualize the field in
a way that would serve to provide significant input from the profes-
sion toward the shaping of higher education in coming years. The ef-
fort attempted to reconstruct the fundamental conceptions of roles,
functions, methods, and procedures that might characterize future
professional practice.

A major assumption of this book is that student development
has been and must remain one of the primary goals of higher educa-
tion. The author defines student development in terms of the "whole
student," or the "liberally educated" person. The book examines
various proposals for higher education in terms of their implications
for student development and research on student development.
Recommendations are presented for those planning the future of
higher education and student personnel programs. Of the five
chapters in the book, Chapter 3, in which key student development
concepts are presented, and Chapter 5, which includes the recommen-
dations, are the most valuable for higher education planners.

The major student development concepts are as follows: (1) stu-
dent characteristics when they enter college have a significant impact
on how students are affected by their college experience; (2) the col-

legiate years are the period for many individual students when significant developmental changes occur; (3) there are opportunities for the collegiate program to have a significant impact on student development; (4) the environmental factors that hold the most promise for affecting student development patterns include the peer group, the living unit, the faculty, and the classroom experience; and (5) developmental changes in students are the result of the interaction of initial characteristics and the press of the environment. Each of these concepts is supported by discussion of research and examples from campus experience.

The final chapter, "What Needs to be Done," includes specific recommendations to institutions desiring to increase their impact upon student development. Among the nine listed and discussed are: a new curriculum designed to have an impact on the affective life of students as well as their cognitive skills; new expectations for student outcomes that cover a broader range of human behavior; problem solving experiences; and increased personalization of priority undergraduate instruction. There are also seven suggestions for student affairs professionals, urging them to become more involved in curriculum matters, to develop contacts with all students, and to reorganize the delivery system on the campus. Reorganization of student affairs might be initiated, according to the author, on the basis of distinguishing those who: (1) provide direct student affairs; (2) could be in a position to affect the living-learning environment; and (3) would be directly involved in the teaching-learning environment.

This book is of use to higher education pl. nners for its presentation of new approaches to student affairs and for the specific recommendations suggested in the final chapters. In particular, the reorganization of student affairs functions on the campus may be of real value to academic managers.

37:1.0/71

New Directions in Community College Student Personnel Programs, Terry O'Banion, 77 pp. (American College Personnel Association, Washington, D.C.).

This monograph is the result of a study commissioned by the American College Personnel Association. Community college leaders were asked to identify exceptional student personnel programs around the country, and then the author secured descriptions of these programs. These examples of new directions of student personnel programs, it was hoped, might stimulate opportunities for further experimentation and program development on community college campuses.

It is O'Banion's thesis that community college personnel pro-
grams have suffered from a lack of evaluation and that most programs
have been the result of trial and error instead of careful planning and
research. Thus the purpose of the monograph is to stimulate the initia-
tion of new programs that will be effectively evaluated in the future.

There are eight chapters, including an introduction, covering the
following topics: organization and administration, academic advising,
counseling, student activities, orientation, student assistance, and
staff development.

O'Banion reviews previous roles assumed by some student af-
fairs professionals, and argues that such functions as regulation,
maintenance, and therapy are not effective in establishing positive
new relationships on community college campuses. The author
describes his "student development model," in which the student af-
fairs professional assumes the role of human development facilitator.
Specific desirable behaviors are described which are the objectives for
the student affairs program. Finally, the author suggests that student
affairs administrators extend their influence by teaching courses that
will assist new students in their overall personal development.

Among the most useful aspects of this monograph are the many
actual examples of successful student development programs
presented in each chapter. For the student affairs administrator in the
community college and for those developing new programs in com-
munity colleges, O'Banion's book is an essential resource.

2.0 CAREER DEVELOPMENT AND COUNSELING

37:2.0/80
Counseling for Career Development, E. L. Tolbert, 472 pp.
(Houghton Mifflin Company, Boston).

While this book is designed primarily as a text for graduate
students in counselor education programs, it is a useful source of in-
formation for the administration of career development and counsel-
ing programs on university campuses. The emphasis in Tolbert's
volume is on practical applications in counseling settings, which are
supported by pertinent theory and research. The author describes the
many changes that have taken place in the delivery of career develop-
ment and counseling services: facilities, personnel, methods, clients
served, new attitudes, and new technological devices and materials.
The primary assets of this book for the manager or academic planner
are the discussions of new developments in the field, with emphasis
upon application, and suggestions to counselors themselves as to how
their roles on the campus can be expanded.

The book has 13 chapters. The first chapter presents a useful analysis of the needs for counseling and career development services. Also of value to the administrator is the discussion of career development theories in Chapter 2. Tolbert has organized this presentation into a classification of theories, which makes the different approaches to counseling quite understandable. The career development needs of special groups are discussed in Chapter 4, and research background, needs, and practical applications for women, minorities, handicapped pre- and post-retirement persons, and the gift.

A major concern of those responsible for the administration of career development and counseling programs for students is the cost of these services. Chapters 7 and 8 address individual and group counseling and suggest projects and experimental activities to expand the offerings and impact of counseling programs within existing resources.

Placement counseling is the subject of Chapter 12, and guidelines for the effective delivery of such services to students are presented. The final chapter emphasizes the role of evaluation of career development and counseling programs, and suggests ways in which these services can be made more accountable on the campus.

An extensive bibliography, containing over 750 listings on career development and counseling, is also included.

Tolbert's book is valuable to higher education administrators because of its comprehensive approach, its emphasis upon research-supported applications, and its up-to-date analysis of current resources and techniques.

37:2.0/78-1

Effective Therapy for College Students: Alternatives to Traditional Counseling. Eugenia Hanfmann. 347 pp. (Jossey-Bass, San Francisco).

The author, who directed the Psychological Counseling Center at Brandeis University before her retirement, has written this book to assist practicing professionals, teachers of future counselors, and administrators responsible for delivering counseling services. She emphasizes health rather than illness as the most effective approach in building active services for students. The strength of the book is its excellent organization and presentation of the issues and problems in establishing a successful campus counseling program.

There are 14 chapters that review the kinds of problems students experience in college and suggest alternative approaches to their resolution. A careful reading will assist institutional managers in

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understanding students, the counseling process, and the importance of delivering effective services in this area. Chapter 11 on "Persistent Failure of Communication" is especially strong in that it provides valuable insights into the perceptions that students may have of their campus experiences.

While most administrators feel a commitment to psychological counseling services on the campus, it is sometimes difficult for them to articulate the need for these services in a clear, persuasive manner. Too much of the literature in this field is fragmented and so specialized that it is not easy to get a broad understanding of the college counseling field. Hanfmann's book is a significant advance in correcting this gap and is a valuable reference for campus managers interested in providing effective counseling services for students.

37:2.0/78-2
A Handbook and Guide for the College and University Counseling Center, B. Mark Schoenberg, 305 pp. (Greenwood Press, Westport, Conn.).

This book includes contributions by 25 active leaders in the counseling field. In a comprehensive manner, the book states the case for counseling services to students and identifies major problems, research, and activities of counselors in their efforts to assist students. Emphasis is also placed upon the administration of counseling centers, the establishment of operational guidelines for centers, and the relationships between these services and other departments on the campus.

The book has 22 chapters in 4 major sections, which address: (1) history and philosophy; (2) structure and organization; (3) formal and informal problems; and (4) other activities. Chapter 5, by Charles F. Preston, reviews the place of counseling in the university organization, and Chapter 6 discusses counseling centers in community colleges. Also of benefit to administrators and planners is Chapter 8, "Paraprofessional and Support Personnel," by Philip R. Spinetti and Ted Packard.

John H. Russel reviews "Career Planning Programs" in Chapter 14. This is among the best chapters in the book because of the emphasis upon ways to relate these services to other campus activities and because of the extensive list of references. Larry R. Cochran describes academic support services in Chapter 15. Such important issues as remediation versus enhancement, correction versus prevention, and skill development versus personal change are discussed.

The final section of the book includes chapters on education and training, university relations, preventive actions, and trends and directions.

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For those responsible for developing or evaluating counseling
and career development programs on the campus, this book is a com-
prehensive resource. In addition to presenting an effective review of
current activities and programs, it discusses the major conceptual,
organizational, and professional issues involved in establishing these
services to students.

37:2.0/77

Career Education in Colleges, Norman C. Harris and John F.
Grede, 419 pp. (Jossey-Bass, San Francisco).

The current revolution in career mobility and opportunity is ad-
dressed in this book. The authors suggest that nearly half of the coun-
 force he engaged in occupations requiring career
education in higher education tions rather than on the job. This
book discusses problems in the planning of college programs for
"suitable manpower careers," and offers guidelines for developing
career development programs leading to careers in business, service-
related technologies, the health fields, public and human services, and
occupations based on the liberal arts. The book is especially helpful to
administrators in that it makes suggestions for planning, financing,
and organizing career development programs. Instead of suggesting
that "career education" is a program separate from the traditional
disciplines on the campus, the authors present a concept of higher
education that incorporates liberal learning within the framework of
career preparation.

The book consists of three major parts: "Background, Concepts
and Setting"; "Career Programs: a Cluster Analysis"; and "Plan-
ning, Finance, and Governance." There are 13 chapters in these parts.
Administrators and planners will find especially helpful the following
chapters: "Students in Search of Careers," "Institutional Settings,"
and "Planning and Operating Successful Programs." There is also an
extensive list of references.

Administrators at all levels of higher education will benefit from
recognizing the trend toward careers in traditional-age students'
educational interests and mature students' significant desire to return
to the campus for additional training. The implications for the cur-
riculum and for student affairs programs are extensive. This book is
important for administrators because it not only presents a workable
concept of career development for the campus, but also suggests
specific ways in which successful programs can be planned and im-
plemented.

37:2.0/75-1

Facilitating Career Development. Strategies for Counselors, Robert C. Reardon, Harman D. Burck, and Harold F. Cottingham, eds., 317 pp. (Charles C. Thomas Publisher, Springfield, Ill.).

As pointed out in the foreword to this book, many publications in the career development field have not effectively combined substance and practicality. This volume attempts to link the theoretical aspects of career development with the needs of practicing counselors. Material is also presented that has current institutional application. Especially relevant to student affairs administrators and higher education managers is the emphasis upon a variety of institutional and community resources to assist in student career planning. Frequently it is assumed that only professional counselors may contribute to institutional services for career development.

There are three major sections: the first presents background and assumptions; the second, counseling strategies; and the third, program strategies. The book contains 15 chapters.

The final eight chapters have greatest relevance for higher education managers because of their focus upon program development and specific student populations.

Chapter 8 includes suggestions about ways to develop an educational guidance program. Seven specific assumptions about the objectives of such programs are presented and reviewed. Of particular value is the emphasis upon the necessary linkages between career development services and instructional programs, which too often are lacking in actual practice.

Self-help techniques in career development are described in Chapter 9, and examples, such as the self-directed search developed by John Holland, are presented. (Holland, J. *The Self Directed Search: A Guide to Education and Vocational Planning*. Palo Alto: Consulting Psychologist Press, 1970.)

Chapter 10, "Developing a Career Resource Center," includes goals, resource needs, operation and staffing, and evaluation of such centers. This chapter is valuable to student affairs administrators who are organizing or evaluating a career resource center on their campus.

The next chapter presents suggestions on the use of community resources. Benefits, strategies, and resources are described.

The next three chapters discuss the special career development needs of women, homosexuals, and minorities. Research, problems, and useful program approaches are presented.

Perhaps of greatest value to administrators and academic planners is the career development model in a university setting presented

in Appendix A. The three "domains" of the model are: (1) self knowledge and interpersonal skills; (2) educational and occupational knowledge and preparation; and (3) knowledge and implementation of life career-planning skills. The model presents the administrator and planner with an opportunity to critique an actual comprehensive program founded upon theoretical concepts described in the book. For the purposes of organizing and evaluating campus programs for career development services, this book is an excellent resource.

37:2.0/75-2
Working, Studs Terkel, 762 pp. (Avon Books, New York).

Reading this book provides perhaps the best understanding of the important feelings people have about their work. This knowledge can prove very useful to higher education administrators charged with the responsibility of providing career development services to students. Terkel's book fills a significant gap in the literature on career development in that the personal aspirations and frustrations of real people are presented, as opposed to abstract or statistical data on "occupations."

His book includes an introduction, where the author reveals his own perceptions of the world of work, as well as the humiliations, joys, dreams, and restlessness of those he interviewed. The book covers nine general categories of work, or of human emotion: (1) working the land; (2) communications; (3) cleaning up; (4) the Demon hover; (5) appearance; (6) the quiet life; (7) the sporting life; (8) the age of Charlie Blossom; and (9) the Arizona kid and the carpenter. Personal accounts from virtually every profession are represented: strip miners, professors, actors, factory mechanics, photographers, welders, bankers, pharmacists, executives, musicians, sales workers, nurses and janitors. More than 125 individuals relate their experiences and perceptions about their work and their lives.

This book is important to managers and academic planners because of the personal perspectives it offers regarding people and their jobs. It reveals the great complexity of career planning and provides ample evidence of the need for humane and individual attention to the needs of students in assisting them with their career development.

37:2.0/71
New Myths and Old Realities, Charles F. Warnath, 172 pp. (Jossey-Bass, San Francisco).

Much of the literature on professional counseling is theoretical and highly specific, and has had limited value for administrators and

planners. Warnath's book is a clear exception to this trend, as he has served for many years as a director of a large counseling center and is a respected national leader within his profession. The book is about the development of counseling centers and the important problems and issues which must be faced in the process of delivering counseling services to students. Warnath's experiences with students, counselors, and institutional administrators are described and reflected in the text.

There are eight chapters, including an introduction, covering the following general topics: professional issues, counseling problems, new roles for counselors, professional preparation, vocational counseling, relations with student affairs administrators, and human resources.

In the first two chapters, the development of college counseling centers over a period of several years is described, and a number of "myths" and problems concerning the counseling function are reviewed. The advantage of building effective relationships and understandings with faculty and administrators is emphasized.

Potential conflicts regarding professional issues are discussed in the third chapter. Responsibilities for the student's development may sometimes clash with institutional concerns, and the author discusses several such situations, revealing his own perceptions and experiences.

In suggesting new roles for counselors in Chapter 4, Warnath urges more activities outside the traditional office setting and in the campus community, when activities may be subject to public scrutiny. This is perhaps the strongest section of the book, as the author describes the necessary traditional roles counselors must assume and outlines the new critical tasks which counselors can perform in order to meet the educational and personal needs of students.

Professional standards in the training of counselors and vocational counseling are discussed in the next two chapters. Of value to administrators and planners is the review of preparation programs and the special skills and problems their graduates may bring to the campus setting as professionals.

Warnath indicated in the preface to the book that he hoped he could stir up some confrontation with the profession in order that some of the "myths and realities" might be reexamined. In Chapter 7, he succeeds in doing this in his discussion of problems in relationships between professional counselors and student affairs administrators. A review of this chapter will provide a better understanding of some of the issues involved in establishing effective counseling services for students.

In the final chapter, the author proposes a Center for Human Resources incorporating staff, organization, facilities, and policies in a manner that might maximize effective services for students. It

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presents a model for administrators and planners that reflects War-
nath's experience, goals, and perceptions.

The appendix includes a list of 204 outreach functions per-
formed by college counseling centers, which were compiled in
response to a survey.

While written 10 years ago, this book is still an important refer-
ence in the counseling field because of its perceptive and detailed
discussions of the major issues and problems involved in developing
effective counseling services for students.

37:2.0/61

"Ethical Standards," American Personnel and Guidance
Association, *Personnel and Guidance Journal,* Vol. 40, No. 2,
pp. 206-209.

This statement, developed and adopted by the American Person-
nel and Guidance Association, is intended to serve as a guide for pro-
fessional behavior and institution-counselor relationships, and as a
standard for the establishment of effective services for students. While
written in 1961, it is still highly relevant to current problems and is an
essential document for campuses which are establishing or attempting
to improve counseling and career development programs.

The statement includes an introductory section in which the rela-
tionship of the counselor to the institution is discussed and the respon-
sibilities of the counselor as a professional are presented.

Section 2 outlines the counselor's responsibilities to the student,
with the emphasis upon the helping relationships and the right of the
students to be fully informed about the conditions under which they
may receive assistance.

Section 3 addresses testing and its uses with the student. The
obligations of counselors to understand the tests and to share accurate
information about them with clients and the public are stressed.

Section 4 covers research and publications. The use of students
as research subjects, the responsibilities of the counselor to the institu-
tion, and the professional obligations to report research results to col-
leagues are discussed.

Section 5 outlines the counselor's obligations in the area of con-
sulting and private practice. These guidelines have important implica-
tions for administrators in the establishment of counseling programs
and in the employment of professional staff. This section also reviews
personnel administration guidelines for counseling services.
Counselors are urged to establish working agreements with super-
visors on such matters as confidentiality, distinction between public
and private material, and counseling relationships.

The last section addresses the issue of professional preparation. Institutions which offer educational training programs for counselors are presented with six general propositions to serve as guidelines for their programs.

This statement is important for managers and academic planners in that it is the recognized standard against which quality programs in counseling and career development are measured. It is an essential document to use in the establishment of such programs on the campus.

3.0 STUDENT RESIDENTIAL LIFE

37:3.0/79-1   /

Evaluating Educational Environments, Rudolf H. Moos, 334 pp. (Jossey-Bass, San Francisco).

The author is a professor of psychiatry and behavioral science at Stanford University and has studied the impacts of social environments on educational attitudes and achievement for several years. This book focuses on the importance of environmental influences on stability and change in student behavior and attitudes, with a particular emphasis, in part, upon university student living groups. The author suggests that architecture, organizational factors, the aggregate characteristics of students in a setting, and social climate can influence psychological states and social behavior.

Moos has developed the University Residence Environment Scale as an instrument for measuring the person-environment interaction. A sample of 10,000 college students in 225 living groups were given this instrument, and many of the findings reported in the book are the result of this study.

Section 1 of the book addresses student living groups on campus and includes four chapters.

In the first chapter of the section, the social environments of student living groups are explored and the major research is reviewed. The author indicates that college living groups may enhance or retard student growth. Students' choice of academic major and past college academic aspirations are two examples of significant student decisions that can be influenced by the living environment. The author administered his University Residence Environment Scale to members of 13 student living groups and found significant differences on such scales as involvement, intellectuality, and social orientation that could not be attributed to student selection.

The second chapter describes differences in living units and student expectations, as the result of the author's sampling of several thousand students at 25 colleges in 12 states. Comparisons are made

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between coeducational and single-sex living units, public and private colleges, and fraternities and residence halls. While such studies have not produced indisputable results, the findings do suggest that policymakers should take the initial findings into account in planning student residences.

The impact of architectural design on living groups is the subject of the third chapter. Size of residence, room and suite arrangements, and the presence or absence of a dining hall were examined. Smaller living units were more likely to develop involvement, emotional support, and academic achievement than large residence halls.

Effects on student attitudes and behavior were explored in the fourth chapter of this section. Styles of coping with college life, religions, cultural and musical interests, aspiration levels, and self-concepts were found to be affected by the residential experience.

The final section of the book includes helpful suggestions regarding practical applications for changing educational settings and educational implications. The appendixes describe the research instruments used and provide an extensive list of references.

The importance of this book to administrators and academic planners is the research basis for the conclusions presented about the significance of student living environments. The study indicates that students' academic aspirations, choice of major, social confidence, cultural awareness, and personal adjustment are influenced in important ways by their living environments and that colleges and universities can enhance their educational impact upon their students by more deliberate planning of student residences.

37:3.0/79-2

College and University Food Service Manual, Paul Fairbrook, 438 pp. (Colman Publishers, Stockton, Calif.).

This reference is included under the subtopic on residential living because food services on most campuses are closely associated with the administration of the housing program. Moreover, in institutions' efforts to provide effective social-education programs through their student residences, the establishment of creative and efficient food services is a very important component.

Fairbrook was commissioned to write this book by the National Association of College and University Business Officers, an association which has sponsored a number of very valuable projects in higher education during the past few years, such as programs and facilities for handicapped students and special training for financial aid officers. The book is intended to serve as a comprehensive guide to effective planning and management of college and university food ser-

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vice programs. The author has 25 years of university food service experience and is a frequent consultant in this area.

Virtually every possible aspect of campus food service programs is covered in the 19 chapters in the book. The first four chapters discuss the role of the director, organization, public image, and a campus master plan. Other major sections of the book address purchasing, staffing, quality, sanitation, safety, catering, special events, and relations with faculty and students.

Of particular interest is Chapter 9 on residence hall food service. A number of specific suggestions are presented for making this program successful on the campus. Examples of effective programs at several colleges and universities are also discussed.

Food services is an essential component of residence programs for students. If it is carefully planned and administered, it can provide an effective supplement to the social and cultural aspects of these residential programs. This book is the most comprehensive reference available on this topic, and can provide substantial assistance to campus administrators.

37:3.0/78
Making Yourself at Home: A Practical Guide to Restructuring & Personalizing Your Residence Hall Environment, Scott Anchors, Charles C. Schroeder, and Smith Jackson, 50 pp. (American College Personnel Association, Washington, D.C.).

The authors of this interesting volume are all residence hall administrators who share a desire to make campus living experiences for students as humane as possible. Concerned with living environments which are often sterile and depressing, the authors suggest specific ways in which colleges and universities can make their student residences enjoyable, attractive, and supportive of academic goals.

After discussing students' basic needs, the authors turn to practical ways of making one's "living territory approachable." Emphasis is placed upon group space, the need for privacy, and identifying one's self with something special in the residence hall.

The chapter entitled "Safety Concerns, Administrative Realities, and Helpful Resources" presents a number of suggestions which can be implemented.

The last section includes ideas for campuses regarding changes that can be made in residence halls to make them seem less impersonal. Five examples of designs are presented.

Campus residence halls have been criticized by students for years for their impersonal, "prison-like" uniformity. In many cases, the results have been high turnover, low morale, and frequent vandalism.

The authors of this publication have offered positive alternatives to these problems, and have demonstrated that it is possible to change campus residence halls into humane and pleasant places for students to live. Academic managers and planners can clearly benefit from this publication.

37:3.0/75

"Residence and Campus Environment," Alexander W. Astin, *Preventing Students from Dropping Out*, pp. 89-109. (Jossey-Bass, San Francisco).

Astin reports the results of a nationwide survey of 41,000 undergraduates at 358 colleges and universities and of a followup study conducted 4 years later. This is the first longitudinal study of college dropouts based on a nationally representative sample of institutions.

Chapter 5, "Residence and Campus Environment," is important for academic managers and planners because of the understanding it may encourage concerning the impact of student residences on continuing enrollment, academic achievement, and participation in campus life.

As Astin points out, the benefits for freshmen of living in a residence hall are clear. Their chances of finishing college are improved if they leave home and live in a campus residence hall. An unexpected finding was that dormitory living followed by living with parents is symptomatic of a tendency to drop out of college.

Students who live in residence halls are more likely to persist to graduation, and are also more likely to participate in extracurricular activities. By increasing the degree of personal involvement in campus life, a college can usually decrease the dropout rate among its students.

Astin's findings provide further support for the beneficial aspects of campus residence halls. Academic managers and planners concerned with maintaining enrollments can benefit from a careful reading of this study.

37:3.0/74

Student Development and Education in College Residence Halls, David A. DeCoster and Phyllis Mable, eds., 278 pp. (American College Personnel Association, Washington, D.C.).

During the past 15 years, there has been a considerable amount of interest in making the residential experiences of students more educational in nature. While some institutions (for example, Michigan State University and The University of California, Santa Cruz) have

planned and constructed new learning facilities into student residences, most others have adapted current facilities, have hired specialists to develop cocurricular programs in student residences, and have found new ways to involve the students themselves in residence policies and activities. This book describes present efforts and offers suggestions for planners regarding residence education. The authors have assumed that the interpersonal environment has an important effect upon student behavior and learning, and this book presents perspectives, reviews, and suggestions on the major issues in student housing.

The book has four sections: (1) Student Development and Education; (2) The Interpersonal Environment and Human Relationships; (3) Residence Hall Personnel; and (4) Credibility for the Future. There are 19 selections in these 4 sections, authored by practicing student affairs administrators, researchers, and professors of higher education. This book is the most valuable single reference for planners regarding student housing and its relation to education. The authors invited by DeCoster and Mable are the most recognized leaders in this field.

In the chapter by Burns Crookston entitled "A Design for an Intentional Democratic Community," essential elements of such an educational environment are presented and discussed: social contract, primary groups, shared goals and values, boundaries, power, work, commitment, transcendence, communion, and processes. Design considerations are also offered, which may be of special use to planners.

Chapter 7 presents examples of residential learning opportunities. Donald Adams, the author, discusses physical facilities, cocurriculum programs, residential colleges (such as Justin Morrill College at Michigan State University), and teaching programs in student housing areas.

In Chapter 14, Elizabeth Greenleaf describes how an institution can enhance its total educational programs in housing by using student staff members. Suggestions are offered regarding training, selection, and organization.

The final chapter, entitled "Future for College Residence Halls," reviews the recent past, assesses the nature of current developments, and offers suggestions for the future in college housing. Administrators considering new facilities for college student housing or those wishing to improve current programs should find this chapter valuable.

Other topics included in the remaining chapters are coeducational living, minority concerns, the psychology of women, preparation of residence educators, research on the impact of residence halls,

and inservice education. Each chapter also includes a useful list of additional references.

37:3.0/73
"University Housing: A Healthy Learning Laboratory," Ben Barger and Ann Q. Lynch, *Services for Students,* Joseph Katz, ed., pp. 5-18. (Jossey-Bass. San Francisco).

The authors, who have codirected the National Institute for Mental Health Program designed to develop community mental health directors, have also had extensive experience in working with undergraduate students in residence halls. In this chapter, they suggest that with effective staffing and planning, residence halls can become learning laboratories for developing academic and interpersonal competence as well as social effectiveness.

Barger and Lynch indicate that effective reference groups develop under the following conditions: (1) when associations are frequent, long lasting, or both; (2) when members face common problems, share common tasks, or otherwise engage in meaningful activities together; (3) when status and roles are varied enough so that longevity of association and being a good member are rewarded and recognized; and (4) when the boundaries with respect to other groups or organizations are reasonably clear so that one knows who is in and who is out. The authors then suggest that all these conditions apply to campus residence halls, which constitute an excellent opportunity to encourage healthy student learning. ●

The authors also describe ways to involve faculty and staff in effective ways in residence halls. An academic course for residence hall assistants is discussed, and finally, the concept of "team building" among various campus personnel and students is emphasized.

This chapter is of value to academic managers because it demonstrates what a residence hall can become on the campus—not just a place to "house students," but a healthy learning laboratory supportive of the institution's academic objectives.

37:3.0/71
"Residence Hall Arrangements," Arthur W. Chickering, *Education and Identity,* Chapter 11, pp. 220-231. (Jossey-Bass, San Francisco).

Chickering received the American Council on Education's Book Award for this publication in 1971. It is of value to higher education managers and academic planners because it outlines specific methods to attain realistic educational outcomes. "Residence Hall Arrangements" is a particularly helpful chapter in that it presents research in

support of the advantages of developing humane on-campus housing programs.

Chickering reports that students living in residence halls generally become more accepting and tolerant, form closer friendships, and have greater opportunities to test out their ideas and values with others. He further points out that the design and physical arrangements of residence halls may affect student interactions.

In order to foster positive student development, the author recommends specific actions to campus administrators such as granting to students living in residence halls a significant degree of autonomy and responsibility for their own actions. The student residence group can be a powerful influence in academic achievement, personal self-confidence, and postgraduate plans, and academic managers can enhance these possibilities by careful planning.

Finally, Chickering suggests that faculty members and administrators become more closely associated with residence halls and the concerns of the students living there. On many campuses, student residences are rarely visited by faculty. Where there is close, frequent, and concerned contact among students and faculty, the educational benefits of student residences can be considerably extended.

37:3.0/65
College Housing as Learning Centers, Harold C. Riker, 56 pp. (American College Personnel Association, Washington, D.C.).

This monograph was commissioned by the American College Personnel Association to assist colleges and universities in the planning of student housing facilities, with a particular emphasis upon the educational aspects of such facilities. Riker identifies the two primary functions of college housing as to provide a satisfactory place for students to live and to help students learn and grow. His thesis is that in order for living and learning to take place in student housing, programs must be planned and maintained by professional staff members.

There are six chapters in the monograph. The first chapter presents the case for student housing, and includes examples of how environment influences behavior and how enrichment of housing facilities can enhance intellectual activity. Effective planning of housing facilities and programs should bring together architects, builders, faculty, student affairs staff, and students.

Chapter 2 describes programs in housing, ranging from counseling and orientation to cultural and curricular activities. Suggestions are presented regarding the decentralization of various institutional programs into campus living units for students.

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Staffing considerations and problems are discussed in Chapter 3. Communications, policies, budget preparation, record keeping, maintenance, and staff selection are topics about which specific suggests and recommendations are made.

Chapter 4 covers the physical facilities, such as the student room, study spaces, community facilities, and recreational and teaching space. Special housing for married students is also discussed, and specific examples are presented from various campuses.

"Issues in Financing" is the title of Chapter 5. Such questions as "What can the college afford?," "What is economical housing?," and "Who pays the housing bill?" are addressed. Various methods of financing housing facilities are discussed, and the critical role of the institution's central administration in financing is emphasized.

The final chapter presents examples of approaches and applications at four institutions noted for successful student housing programs: Concordia Senior College, Stephens College, Indiana University, and Michigan State University. Of particular interest are the "house plans" at Stephens College, which bring faculty and students into close and frequent contact, and the "living-learning" design at Michigan State, which combines classroom, student living, and faculty office spaces into one facility.

Though written in 1965, Riker's monograph remains a major comprehensive reference for those administrators and academic planners interested in developing effective college student housing facilities.

See also: 24:3.2/74 **Commuting Versus Resident Students**, Arthur W. Chickering.

This book is the result of extensive studies of college students carried out under the auspices of the office of research of the American Council on Education and the Carnegie Commission on Higher Education. Dur'ng the 1960's the Federal and state governments extended generous subsidies to colleges and universities for the expansion of residential facilities for students. This resulted in a dramatic increase in campus student housing. However, during the past several years there have been major cutbacks in dormitory construction, and on some new campuses specific policies have been developed that prohibit the building of campus residences. This study by Chickering presents evidence that such decisions to decrease opportunities for campus residential living for student, may have serious educational consequences. Of particular interest to administrators and planners are this study's findings that living on campus affects student development in positive ways, and that highly able and affluent students are much more likely to live on campus than those students

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less able and affluent. In view of the goal of providing equal educational opportunities for all students without regard to economic restrictions, such a finding could have significant policy implications for institutions.

The book contains nine chapters and includes discussions on new students, the curriculum, student characteristics, college experiences, and educational consequences. While Chickering presents evidence of the positive impact of campus residential living upon student development, it is clear that the most dramatic changes in students occur during the freshmen and sophomore years. His sample of students is also heavily skewed toward the traditional 18- to 22-year-old age group. It is particularly significant that students who live on campus, as opposed to those who live with their parents and commute, are more involved in academic and extracurricular activities, have higher academic aspirations, are more frequent participants in cultural events, express more self-confidence in interpersonal relationships, express more satisfaction with their college experience, and are more likely to persist until graduation. These results are especially striking when it is noted that they hold true regardless of type or location of institutions, when the special backgrounds of the students are taken into account, and when their academic abilities are accounted for. The policy and educational implications of these findings for student affairs administrators and for academic planners are substantial.

The final chapter offers a list of recommendations that can assist in promoting student development. Suggestions are presented regarding orientation and admissions, program planning and review, curriculum, learning resources, teaching, contract learning, and short-term residential experiences.

This volume is of critical importance to academic managers, not just in terms of student housing policy but also in terms of the total campus learning environment.

See also: 21:3.0/72 **Student Housing**, Judy Tolmach.

This publication is designed to assist institutions in the economical and educational planning of student residences. The author suggests that traditional dormitories are out of step with the concepts of higher education that make college a cultural and social experience. She argues further that dormitories with twin-bed rooms that are lined up along a corridor, almost like a prison or hospital, are not conducive to individual development of students.

The book advocates change in existing facilities, making them more humane by creating suites, living rooms, and group living opportunities. Several alternatives are suggested for new student residences, with an emphasis upon apartment-type accommodations.

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There are chapters that deal with the needs of students, financing residence halls, and management techniques. Specific examples of the latter are presented at three eastern colleges.

Descriptions of efforts to "recycle" the old dormitories at 10 institutions are included in the third chapter. The "living-learning" residences at Denver, Cornell, Michigan State, and the University of Michigan are discussed in the fourth chapter. For academic planners considering a closer link between classroom and living unity, this chapter is very valuable.

Finally, a helpful list of information sources is provided in the appendix.

While interest rates are high, construction costs rising, and the Federal student housing loan fund much smaller than it was in 1960, a large number of institutions are very interested in building residence halls or renovating existing ones to make them more humane. This publication is an excellent resource for academic managers who are searching for ways to accomplish this goal.

4.0 STUDENT RIGHTS

37:4.0/79
Fair Practices in Higher Education: Rights and Responsibilities of Students and Their Colleges in a Period of Intensified Competition for Enrollments, Carnegie Council on Policy Studies in Higher Education, 91 pp. (Jossey-Bass, San Francisco).

In response to the growing consumer movement, the comparative scarcity of traditional-age college students during the 1980's, and some negative aspects of higher education's conduct, the Carnegie Council commissioned this report, focusing on moral and ethical values of institutions and students. The Council is concerned that some colleges and universities may be reluctant to establish strong ethical standards for students and perhaps may be likely to engage in questionable activities themselves.

While pointing out many positive contributions higher education has made to improving ethical conduct, the Council lists several negative aspects of the conduct of higher education, such as increased cheating by students, substantial misuse of financial aid, theft of library books, inflation of grades by faculty, awarding of credits by academic departments for inadequate academic work, and misleading advertising by institutions in their search for students. The book is a positive response to these problems, and in it the Council urges institutions to develop a code of rights and responsibilities, addressing such subjects as admissions, recruiting, advertising, financial aid, tuition,

recordkeeping, instruction, academic requirements, advising, grievance procedures, support services, and student conduct.

The book consists of four chapters, which focus on the conduct of institutions and students, institutional rights, student rights, and recommendations. There is also a useful appendix that lists key resources on this general topic and how to get them.

While helpful suggestions are made in each of the first three chapters, clearly the most valuable part of the book for higher education planners is Chapter 4, which lists and discusses the recommendations. Fourteen general recommendations are made, and several specific suggestions are also listed under each recommendation. The general recommendations cover a broad range of topics, such as the provision of better information for students and their parents, the cooperative creation of institutional "codes of rights and responsibilities," the establishment of grievance procedures, the adoption of a policy of institutional full disclosure, and the role of the Federal Government.

Finally, a concluding section entitled "Who Should Do What?" makes suggestions for action to institutions, students, regional accrediting associations, the states, the secondary schools, and the Federal Government. With this publication, the Council has issued an indispensable guide for higher education administrators committed to the principles of fair practice. The book deserves wide discussion in the higher education community, as its analysis and strong recommendations can serve the needs of students, institutions, and the public very effectively.

See also: 20.2.3/78 **The Law of Higher Education: Legal Implications of Administrative Decision Making,** William A. Kaplin.

The author serves as editor of the Journal of College and University Law, and is a law professor at the Catholic University of America. This book is intended as a broad reference for administrators who deal with a great variety of problems facing students, faculty, employees, unions, the government, the press, and accrediting agencies. The book covers all the major areas of higher education from graduate and professional schools to liberal arts colleges and public and private community colleges. While not a technical guide for practicing university attorneys, the book does include sufficient documentation and indexing to serve as a comprehensive resource for campus decisionmakers.

There are eight chapters in the book: (1) Overview of Post Secondary Education Law; (2) The College and Trustees, Administrators & Agents; (3) The College and the Faculty; (4) The College and the Students; (5) The College and the Community; (6) The

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College and the State Government; (7) The College and the Federal Government; and (8) The College and the Accrediting Agencies. There are also a bibliography and case and subject indexes. While all the chapters are useful for campus administrators and planners, the specific focus of this review is student rights, and thus, an analysis of only that chapter will be presented here.

Topics covered in the chapter entitled "The College and the Students" include students' legal status, admissions, financial aid, disciplinary rules, grades, procedures for dismissal, student protest, student organizations, student press, housing, athletics, records, and grievance systems.

The section on admissions presents cases and guidelines on race, sex, handicap, and age discrimination, and is essential for student affairs administrators and planners. The discussion of affirmative action programs as they apply to the administration of admissions policies is among the most valuable available. It includes a review of the most pertinent recent court cases and the appropriate Federal laws and regulations, and suggests guidelines to assist administrators in directing and establishing affirmative action policies.

Perhaps of greatest value to student affairs administrators and planners is the section summarizing legal principles, cases, governmental regulations, and institutional responsibilities regarding student financial aid programs. Both in the establishment of grant and scholarship programs, and in the administration and evaluation of existing state and Federal financial aid programs, a reading of this section will prove very valuable to campus decisionmakers. Some institutions have used their financial aid resources as the primary means of increasing their minority enrollment, and cases are reviewed in this important area that can serve as effective guidelines for campus policies. The rights of students and of institutions regarding the collection of student debts has been an issue receiving a considerable amount of national publicity in recent years. This issue is reviewed, and a helpful discussion regarding the release of certified transcripts to students is also included.

Finally, the section on athletics includes a discussion of the major cases and issues regarding sex discrimination in college sports programs. Those responsible for developing policies and practices in this highly volatile area will benefit from a reading of this section. The inclusion of the 10 "nonexclusive factors" by which to measure overall equality makes it clear to campus administrators what their responsibilities are.

Kaplin's book is important as a resource to student affairs administrators and academic managers for its comprehensive treatment

of critical topics and, in particular, for its excellent review of admissions, finance, and athletics.

37:4.0/76-1

Student Rights, Decisionmaking, and the Law, Terrence N. Tice, *ERIC Higher Education Research Report No. 10.,* 98 pp. (American Association for Higher Education, Washington, D.C.).

The author, who is professor of philosophy in the School of Education and program consultant to the Institute of Continuing Legal Education at the University of Michigan, presents an illuminating discussion of student rights, while relating law to campus decisionmaking. There are six chapters, which address the following topics: Student Activism and the Courts; Law and Morality in the Open Society; the Coming New Era of Student Activism; Legal, Institutional, and Moral Rights; Administration and the Law; and Guidelines for Administrative Decisions Concerning Students. Finally, there is a 327-item bibliography on student rights which will prove quite valuable for the more serious researcher.

This book is helpful in assisting higher education planners to understand how institutions can deal effectively with conflict while also respecting the rights of individual students. Several examples are presented from recent court cases which serve to illustrate the relationship between administration and the law in current campus situations.

Clearly the most useful chapter in this book for higher education planners is the one which presents guidelines for administrative decisions concerning students. Recommendations are offered in these areas: judicial perspectives on campus relationships; governance patterns; student affairs procedures; student discipline; policy formulation; decisionmaking skills; campus judiciary system; substantive rights areas; involvement with the courts; lobbying; routes to effective student participation; and conflict-utilization skills. A participatory approach to the decisionmaking process on the campus is recommended, with both formal and informal mechanisms available that are built on specific rather than vague or overly generalized criteria.

The book presents the major issues that institutions face regarding student rights and discusses them in relation to existing court cases in a manner that is very helpful to academic managers.

37:4.0/76-2

The Law and the Student in Higher Education, D. Parker Young, 56 pp. (National Organization on Legal Problems of Education, Topeka, Kan.).

This monograph traces the rapid development in higher education law since the *Dixon v. Alabama* case in 1961. A number of court cases which have a direct impact upon student rights and the administration of student affairs programs are reviewed and analyzed.

The tumultuous events of the 1960's involving students and their relationship to the campus received much publicity, but the relative quiet since that time has not led to a period of litigative inactivity. The purpose of this monograph is to help those involved in higher education administration to understand the legal parameters within which institutions may operate effectively.

The legal relationship between the student and the university is explored in detail, and the theories of contract, *in loco parentis,* fiduciary responsibilities, and constitutional law are discussed. There is a valuable review of cases regarding freedom of expression for students that could aid institutions in their policy development in this area, and the current move on the part of institutions to disassociate themselves from any official sponsorship of student publications is also discussed.

The rights of students to organize themselves on a campus for social, political, or other purposes are reviewed, and helpful policy guidelines suggested.

An extensive section on procedural and substantive due process is included, and the issues of rules and regulations, standards for hearings, and right to counsel are discussed. This section is especially helpful as it presents the basic court cases that provide precedent for policy on each issue.

The frequently difficult matter of search and seizure policies, especially in relation to university housing facilities, is also reviewed. If institutional policymakers were to follow the guidelines that emerge from Young's discussion, they would certainly experience fewer problems. This section also provides a discussion of the important changes in the area of student fees regarding proper notification, collection, and the establishment of mandatory activity fees, and includes a review of cases in the out-of-state tuition area.

While the courts have essentially followed a policy of nonintervention regarding academic affairs, the author suggests that policies should be established that protect the rights of students and do not infringe upon professional privileges or institutional autonomy. A number of helpful suggestions are made in this area.

The final section of the monograph reviews cases involving the administration of athletics programs, tort liability of colleges, Title IX of the 1972 Education Amendments, and the Family Rights and Privacy Act of 1974. A useful topical index of selected cases is presented as well.

This monograph is useful for academic managers because of its readable and succinct presentation of the major court cases affecting the administration of student affairs programs.

As a further suggestion, institutional planners and administrators may subscribe to *The College Student and the Courts,* a series of quarterly supplements presenting summaries of pertinent recent cases involving student-institutional relationships. It is published by College Administration Publications, Inc., Asheville, N.C., and is edited by D. Parker Young, Donald O. Gehring, and Robert D. Bickel.

37:4.0/76-3

Promoting Consumer Protection for Students, Joan S. Stark, ed., 105 pp. (Jossey-Bass, San Francisco).

With the massive influx of Federal dollars designed to provide all potential learners with equal access, it was perhaps inevitable that the rights of students to full and accurate disclosure of information about institutions would be insured. Efforts have been made during the past five years to provide the best possible information to prospective students so that they might choose the type of education that is best suited to their needs and abilities.

Defining the student as a consumer is perhaps at odds with the traditional terminology of collegiality. However, the emphasis in the consumer movement upon protection of students from misleading or inaccurate information, policies, and procedures is now well established.

This book presents an effective discussion of the several factors that have created the consumer protection movement in higher education. It also examines the difficult and controversial issues having to do with the implementation of such protective measures. The consumer movement, of course, seeks to achieve a balance between the rights of the institution and the rights of the students who contract for the services.

With the increasing competition for students among many colleges, emphasis upon student consumer protection can be expected to continue. Congress has taken specific actions to protect students through the Family Rights and Privacy Act of 1974 (The Buckley Amendment) and through various provisos of the Middle Income Stu-

dent Assistance Act of 1978. The abuses most often addressed are misleading advertising; overly aggressive recruiting; lack of full disclosure of institutional policies and practices; inferior facilities, course offerings, and staff; false job placement promises; unsatisfactory refund policies; and a failure to live up to stated policies.

There are eight chapters in the book, presenting varying perspectives on the issue. Of particular value are the chapters "Clarifying Roles and Purposes" by Elaine H. El-Khawas, and "Is More Information Better?" by Joan S. Stark. The final chapter includes an extensive list of helpful references, especially those that focus upon the accreditation process an its relationship to the student consumer movement.

37:4.0/74

A Legal Perspective for Student Personnel Administrators, Robert Laudicina and Joseph L. Tramutola, Jr., 140 pp. (Charles C. Thomas Publisher, Springfield, Ill.).

Administrators of student affairs programs will find this book helpful in understanding their responsibilities regarding existing legal problems and in the establishment of policy in a number of areas under their jurisdiction. The authors, a practicing student affairs administrator and an attorney, present a balanced and nontechnical discussion of the major issues and problems in this area.

There are seven chapters in the book, which include reviews of these major topics: campus and civic responsibilities, drugs and the law, civil liberties of students, and guidelines for administrators.

Chapter 3 focuses on the student's dual citizenship within the campus and the community, and includes reviews of enrollment and residence contracts, financial aid, and judicial standards.

This book may be especially valuable because of Chapter 4, which examines cases and discussions of students, drugs, and the law. This chapter also contains a synthesis and explanation of Federal laws involving drugs.

The fifth chapter presents a model constitution of a campus tribunal, including guidelines on membership qualifications, jurisdiction, organizational structure, and procedures. This model could serve as an effective planning and review document on the campus.

The final chapter reviews student work-related injuries, obscenity, and university liability for the activities of student organizations.

With the significant increase in litigation involving students in recent years, the student affairs administrator must remain aware of major legal developments that affect student rights. This book, authored by professionals practicing in the field, is a useful guide in

developing policies and campus relationships that protect student rights and ensure the integrity of the educational process.

37:4.0/73

Student Discipline Systems in Higher Education, Stanford Cazier, 47 pp. (American Association for Higher Education, Washington, D.C.).

While a large number of articles have been written about student discipline during the past decade, many of them are of limited value to higher education planners because they focus on very specific problems within the area. This monograph is useful to planners because it remains the most important literature on the topic, provides a brief historical overview of recent developments, and discusses the issues of substantive and procedural due process in some detail.

Colleges and universities are dedicated to the creation and maintenance of special learning environments, and a student discipline system is essential to the achievement of those goals. Instead of viewing student discipline as a set of repressive reactions of negative behavior, this book provides for institutions helpful guidelines for adjudicating such problems in an educational and positive manner.

The chapters on substantive and procedural due process review the most important court cases affecting campus student discipline systems. The specificity of rules, freedom of expression and assembly, the student press, confidentiality of student records, and student organizations are discussed in the chapter on substantive due process. Under the topic "Procedural Due Process," requirements for fair hearings are listed. There is also a good summary of double jeopardy and overlapping jurisdictions in this section. Central to the entire monograph is the author's point that whether or not the university chooses to exercise its jurisdiction in any student disciplinary matter, the decision must be predicated on educational issues.

An extensive bibliography of additional sources is also provided.

Cazier has written a very usable book for managers in this small volume. Institutions intending to create or revise student discipline systems will find an excellent review of the cases and issues, as well as authoritative suggestions designed to improve the campus learning environment through a fair student disciplinary system.

37:4.0/68

"Joint Statement on Rights and Freedoms of Students," American Association of University Professors and four other professional associations, *AAUP Journal,* Vol. 54, pp. 258-261.

In June 1967, representatives of the American Association of University Professors, the United States National Student Association, the Association of American Colleges, the National Association of Student Personnel Administrators, and the National Association of Women Deans and Counselors met in Washington, D.C. and drafted this statement. It was endorsed by these associations, and has been endorsed by several other higher education associations since that time. In the area of student rights, no other similar document has had a more pervasive influence on American campuses. Its basic principles and guidelines have been adopted as policy on scores of campuses or have served as the basis for institutional bill of rights statements. Although written and adopted almost 14 years ago, it remains a landmark publication in establishing positive learning opportunities for students.

The purpose of the "Joint Statement" is to enumerate the essential provisions for student freedom to learn. Guidelines for institutions are presented in six sections: (1) Freedom of Access to Higher Education; (2) Freedom in the Classroom; (3) Student Records; (4) Student Affairs; (5) Off-Campus Freedom of Students; and (6) Procedural Standards in Disciplinary Proceedings.

The section of the statement that addresses freedom in the classroom includes guidelines on the protection of expression, protection from improper academic evaluation, and protection against improper disclosure. Section III, which deals with student records, provides valuable suggestions for institutions regarding confidentiality. The Family Rights and Privacy Act (Buckley Amendment) passed by Congress in 1974 is remarkably consistent with this statement's principles regarding student records.

Part IV of the statement includes sections on freedom of association, freedom of inquiry and expression, student participation in institutional government, and student publications. The suggestions regarding student participation in campus government and the role of student publications have provided effective assistance to many colleges and universities.

The final section of the statement outlines appropriate procedural standards in disciplinary proceedings. Eight hearing committee procedures which satisfy the requirements of procedural due process are presented. When followed, they insure fairness to the student and to the institution and encourage an educational emphasis in the overall process. 581

For higher education managers charged with the responsibilities of establishing fair and equitable policies to insure student rights on the campus, the "Joint Statement on Rights & Freedoms of Students" is an indispensable resource. Two other related documents that also should be examined are the statement developed for the Carnegie Commission in 1971 entitled "American Bar Association Law Student Division Committee on Student Rights and Responsibilities — Model Code for Student Rights, Responsibilities and Conduct," *Dissent and Disruption* (McGraw-Hill, New York) pp. 219-231; and *Academic Freedom and Civil Liberties of Students in College and Universities*, American Civil Liberties Union, 47 pp. (ACLU, New York, 1970).

5.0 STUDENT HEALTH SERVICES

37:5.0/80

"Wanted: A Comprehensive Model of Healthy Development," Douglas H. Heath, *The Personnel and Guidance Journal,* Vol. 58, No. 5, January, pp. 391-399.

Discussions of student health services frequently provide an almost exclusive focus on ways to deal with the ill, the maladjusted, or the depressed student. While these are obviously of great importance to those responsible for student health, they alone constitute an incomplete approach to the concept of a comprehensive student health-care program.

Douglas Heath, who is a professor of psychology at Haverford College, has been among the leading researchers and writers on student development during the past 15 years. Heath's "model for health development" conceives of a person maturing in cognitive skills, self-concept, values or motives, and interpersonal relationships. Maturing of each personality factor is defined by five interdependent developmental dimensions: increasing symbolization, allocentrism, integration, stability, and autonomy. He defines each of these dimensions and describes various illustrative behaviors.

Heath suggests that health practitioners and others working to assist students need a comprehensive holistic model of healthy development that assists in the understanding of the maturing process. Without it, the tendency is to focus on isolated bits of behavior, which prevents health professionals from viewing the student as a whole.

This article has value for academic planners because it may encourage a broader understanding of their responsibility to deliver health services to students and stimulate the development of more imaginative efforts to create positive health programs.

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37:5.0/79

"The Manageable Approach to College Health Services Planning," George Stuehler, Jr., and Stephen T. O'Dell, *Journal of the American College Health Association,* Vol. 27, No. 6, June, pp. 281-285.

The authors suggest that college health services, functioning within the complex environments of higher education and health, face unique problems in the planning process. Those responsible are expected to respond effectively to new developments in adolescent medicine and the needs to improve the health status of students. There are also increasing pressures on health service administrators to focus more on primary care, interinstitutional arrangements, and long-range planning to meet community needs. All of this is happening at a time when higher education institutions are being carefully scrutinized by others, especially regarding the manner in which limited resources are being used.

Student health services are expensive, and the increasing costs are a major concern to academic managers and planners. It is essential that these services be well planned so that institutions are receiving a fair return for their expenditures on health care. The authors of this article propose a "manageable approach" to health care planning, an approach that is comprehensive, systems- and task-oriented, open, and participative. It is implemented through an "executive planning committee" consisting of health professionals, students, and administrators. The effort is designed to result in a written plan for campus health after a series of 10 weekly meetings. There are six stages to the process, and each is described.

Student health services needs a firm basis in institution-wide support, and operates most effectively when the policies and programs emerge from a plan that has been systematically developed over a period of time by a broad constituency. This article suggests a successful method for accomplishing this goal, and thus it has considerable value to institutional administrators and academic planners.

37:5.0/77

"Recommended Standards and Practices for a College Health Program," *The Journal of the American College Health Association,* Vol. 25, Special Issue, March, pp. 1-35.

This is the third revision of the standards originally published in 1964. It represents the work of several committees of the American College Health Association, and was prepared by its Commission on Ethics and Standards. The statement sets forth the basic recommendations for a comprehensive health program designed to meet the needs

of members of the academic community. It is intended to serve as a stimulus for the establishment of quality programs and as a standard against which the effectiveness of services, programs, personnel, and facilities can be measured.

The document has eight major sections, as follows: (1) general information; (2) health programs; (3) supporting services; (4) communications; (5) health personnel; (6) financing; (7) facilities; and (8) ethical and professional relationships.

The first section presents discussions of institutional commitment, administrative relationships, and the role of the student health service director. Emphasis is placed upon cooperative relationships with academic departments, students, administration, and the community.

Section 2 includes detailed descriptions of numerous services and activities, such as outpatient and inpatient services, mental health, dental services, athletic medicine, rehabilitation nedicine, health education, and provisions for emergencies and disasters. Objectives, scope of program, and administrative relationships are also discussed regarding each activity.

The various supporting services, such as health records, laboratory services, and pharmacy, are discussed in Section 3. Principles, procedures, and programs are suggested.

Section 4 is concerned with communications within the health service, with students, and with those outside of the institution.

The qualifications, duties, and education of health personnel are discussed in Section 5. Suggestions are made for medical and dental, nurses, mental health, health education, environmental health and safety, and administrative-clerical staff. There is also a useful section on working conditions, remuneration and benefits, and professional improvement.

Section 6 presents various suggestions regarding the financing of health services. Sources of funds are discussed, and a section on business procedures is also included.

Facilities for health services is the subject of Section 7. Design and construction, maintenance, and other building needs are presented for each major component of the service.

Section 8 is concerned with ethical and professional relationships. Professional confidence, privileged communication, public health and police departments, government security control agencies, admissions screening, use of students for research, religious convictions against the use of health services, and excuse policies are among the several topics addressed in this section.

These standards have had a very positive influence upon the upgrading of student health services on campuses throughout the

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country. For administrators reviewing current services and wishing to improve them, and for others who are planning new services, these standards are indispensable to the establishment of quality health services to students.

37:5.0/73

Mental Health on the Campus, Raymond M. Glasscote and Michael E. Fishman, 216 pp. (Joint Information Service, Washington, D.C.).

A very significant component of university student health services is the mental health program. With the large number and wide diversity of colleges and universities in the country, there has been little consistency in the quality of mental health services available to students. Many institutions have not viewed the provision of such services to be a high priority, and others appear to be providing little if anything in the way of formal support services for students who undergo any form of emotional or behavioral crises.

In an effort to address this problem, the American Psychiatric Association and the National Association for Mental Health decided to survey the numerous helping services being provided at various institutions. Onsite visits were conducted, and interviews were held with administrators, religious, housing, faculty, medical, and student service personnel concerning student mental health services.

Several changes involving students' establishing more realistic goals were noted by the authors, and various implications for mental health services are presented. Especially helpful to administrators and planners are descriptions of seven model programs in student mental health services at the University of Florida, Yale, The College Mental Health Center at Boston, Kansas State, Brigham Young, Sarah Lawrence, and the University of Wisconsin. Many useful suggestions are made regarding programs, personnel, and organization.

This book is important for administrators and academic personnel because of the broad, functional approach it presents in the discussion of student mental health services. Too often, such services have been isolated, and have not served a broad range of campus student needs. This book suggests ways in which administrators can extend and improve these services to all students.

37:5.0/69

Statement on Health Rights and Responsibilities of Members of the College and University Community, American College Health Association, 11 pp. (ACHA, Evanston, Ill.).

This statement was developed to assist institutions, students, parents, and outside supporters in understanding the role of health

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care on the college campus. It outlines in specific ways the rights and responsibilities of students, faculty, health professionals, and institutions in providing effective health services and fair policies.

The American College Health Association is the professional organization for college health personnel and, in this official statement, urges that programs and policies regarding student health be developed jointly by administration, faculty, and students, in consultation with qualified health professionals.

The statement describes the several "health rights" of students, from specific medical services to the use and maintenance of medical records, the release of medical information, and the provision of accurate health information. Six responsibilities of students are also presented, which emphasize the need to participate in the development of a comprehensive program, and to live in accordance with established practices of public health, respecting the rights of others to an environment in which physical, emotional, and social health hazards are minimized. The rights and responsibilities described for the institution and for faculty and employees stress the need to set health standards, to initiate and guide the development of the health program, and to maintain surveillance of the total health environment of the campus community.

This ACHA statement is a basic resource in the development of effective student health services, and can provide an excellent model for academic managers in their efforts to establish these important programs.

37:5.0/65

College Health Services in the United States, Dana L. Farnsworth, M.D., 28 pp. (American College Personnel Association, Washington, D.C.).

The author of this monograph, Dana Farnsworth, developed and administered an extensive health program at Harvard University. Under his direction, the program became widely recognized for its scope and quality. As a prominent national leader, it was natural for the American College Health Association, in conjunction with the American College Personnel Association, to ask Dr. Farnsworth to write this monograph. Though published in 1965, it is still recognized as a basic resource for those interested in establishing and improving college health services. The book is not addressed to practicing college physicians, although they may find it helpful, but to student affairs administrators and other planners who are seeking information concerning the range, scope, and principles of health services.

As a practitioner, Farnsworth understood the key role of cooperation among various campus agencies and departments in establishing effective health services. Throughout the monograph, the author stresses this view, and pleads for the student health services to be a "little island of neutrality in the complicated college community."

There are nine chapters in the monograph, which cover history, administration, confidentiality and communciation, medical and surgical services, intercollegiate and intramural athletics, preventive medicine, environmental health and safety, dental care, psychiatric services, and the small college.

The chapter on administration includes a list of principles of good practice, a discussion of where the health service should be placed on the institution's organizational chart, methods of financing the service, standards for buildings, and medical excuse systems.

Chapter 3 addresses confidentiality and communication. The author stresses the importance of confidentiality among faculty, administration, and medical personnel. Also included are several suggestions to administrators regarding the fair treatment of students.

The chapter on psychiatric services is perhaps the strongest in the monograph. It includes a discussion of the common emotional disorders of college students, a list of the general purposes of a college psychiatric service, discussions on administrative structure relationships with other counseling groups, and preventive psychiatry. It also suggests seven major activities for an effective psychiatric service: diagnostic interviews, referral, short-term therapy, emergency treatment and crisis consultation, consultation, representing the community, and teaching.

The provision of health services for students has existed for a long time in American higher education. Even urban-community campuses have found that such services are needed for their students. Farnsworth's monograph provides a sound base of understanding for higher education managers interested in developing and maintaining student health services.

6.0 STUDENT ATHLETICS

37:6.0/79-1

On Athletics, Harry A. Marmion, ed., 198 pp. (American Council on Education, Washington, D.C.).

In 1976, the American Council on Education obtained support from the Ford Foundation for a major study of American collegiate athletics. A commission on collegiate athletics was formed, and the work of the commission has been coordinated by Harry A. Marmion.

This issue of the *Education Record* is devoted entirely to collegiate athletics, and sets forth much of the work of the commission. A further report on financing collegiate athletes will be issued later in 1980, as will the final report of the commission.

The volume emphasizes the growth, influence, and popularity of collegiate athletics, as well as the economic, social, and political effects on the institution. The major purpose of the commission's work, and thus of this volume, is to assist administrators in understanding the complex nature of collegiate athletics and to provide the needed institutional leadership that will not just avoid scandals, governmental involvement, and public condemnation but will also meet the needs of students.

There are 16 chapters in the volume, and among the most valuable is Chapter 3, which presents three separate statements on responsibilities in the conduct of college athletics approved by the American Council on Education and recommended as guidelines for good practice. The first is addressed to boards of trustees, and recommends eight local policy commitments in areas such as educational mission, recruitment, equal opportunity, and financing. The second set of recommendations is directed at campus presidents, and includes 11 suggestions for implementation. Matters such as delegation of authority, student and faculty role in policy, a code of ethics, and fund-raising activities are discussed. The third ACE statement on good practice is addressed to collegiate athletics directors, and includes six recommendations in such areas as hiring of staff, recruitment of athletes, and financial planning. While these statements may not provide a complete prescription for problems in collegiate athletics, they can provide a great deal of assistance to campus administrators responsible for these programs.

Other chapters in this volume address the following topics and issues: controversies in college sports, women and sports, financial problems, institutional autonomy, the role of the campus president, injuries, legal problems, and self-regulation. The volume includes an extensive and very helpful bibliography on collegiate athletics.

There have been other inquiries into the state of collegiate athletics (*American College Athletics*, Savage et al., N.Y.: Carnegie Commission for the Advancement of Teaching, 1929; and "Report of the Special Committee on Athletic Policy," *Educational Record*, April 1952, pp. 246-55) at the national level in this century. The study by ACE, reported in this volume, outlines the problems, lists the abuses, describes the issues, offers suggestions for good practice, and urges action by campus administrators. This effectively presented volume is extremely valuable for institutions. It will be interesting to note the impact the study may have on actual practice.

37:6.0/79-2

NCAA Manual, The National Collegiate Athletic Association, 266 pp. (NCAA, Shawnee Mission, Kan.).

This manual is the official publication of the National Collegiate Athletic Association, serving as the guide to the administration of campus athletics programs for men throughout the country.

Included in the manual are the "Principles for the Conduct of Intercollegiate Athletics," covering such topics as academic standards, financial aid, recruiting, ethical conduct, and student eligibility.

The bylaws section of the book, which is 97 pages in length, contains 359 cases about which specific questions are posed and to which authoritive answers are provided. Examples of the case topics are: sale of complimentary tickets, professional tryouts, entertainment of relatives, room and board during vacation periods, "5-year rule" concerning graduation and aid, sports camps, high school academic records, and injuries.

Of particular value to campus managers and academic planners is the section of the manual entitled "Recommended Policies and Practices for Intercollegiate Athletics." This statement can provide helpful guidance in the development of programs and in the evaluation of their effectiveness.

The extremely detailed nature of the manual is a reflection of the many problems and abuses that have occurred in intercollegiate athletic programs at various campuses. The NCAA has become in many ways an enforcement organization, with much of its activity receiving national attention from the press.

This manual is an essential resource for campus administrators in the governance of intercollegiate athletics. It sets forth the current policies and regulations and defines the limits of acceptable behavior for institutions and student athletes.

37:6.0/79-3

AIAW Handbook 1978-79, American Alliance for Health, Physical Education and Recreation, 71 pp. (AAHPER Publications, Washington, D.C.).

This is the official handbook of the Association for Intercollegiate Athletics for Women. This organization, established in 1971, provides governance and leadership regarding standards of excellence and educational soundness in women's intercollegiate athletics. The policies, rules, and regulations are established by institutional representatives. The association also offers a program of 18 national championships in 13 different sports for women.

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This handbook contains a great deal of information about the operations, policies, and organizations concerning the administration of women's athletic programs. It has sections which describe the various standing committees of AIAW, including ethics and eligibility, and nominating and fiscal. Credentials, awards, amateur status, television, and recruitment policies are also discussed in relation to the standards for each set by the Association.

Detailed descriptions of regulations for awarding financial aid, the AIAW code of ethics, procedural regulations for institutions, and sample forms are also included. Of special interest to academic managers is the AIAW "Position Paper on Intercollegiate Athletics for Women."

For those charged with developing and managing intercollegiate sports programs for women, the AIAW Handbook is an indispensable guide. It outlines sound and acceptable practices for institutions, and insures academic integrity and consumer protection for the student.

37:6.0/78-1 •

The Recreational Sports Program, Viola K. Kleindienst and Arthur Weston, 489 pp. (Prentice-Hall, Englewood Cliffs, N.J.).

In the past 20 years there has been an explosion of interest in recreational sports in the United States. Nowhere is this more evident than on the college and university campus, where participation in intramural sports and recreation programs involves the majority of the students, and usually the faculty and staff as well. The administration of campus recreation programs has grown rapidly in recent years, and has its own professional association, journal, and standards of good practice. This book is a comprehensive account of the major problems, functions, and issues in the administration of campus recreational sports programs. There are 21 chapters. The first three chapters are concerned with historical and philosophical foundations and include helpful sections on the National Intramural Association, sports clubs, and Title IX legislation and women's rights.

Chapters 4-8 cover topics in community recreation and the new sports participants. Chapter 9 describes patterns of organization and administration, and Chapters 10 and 11 address the extramural program and the recreation association.

Financial support and management, publicity and public relations, awards, health and safety, and facilities, equipment, and supplies are subjects of the chapter in the section of book entitled "Operational Policies and Procedures."

The final section of the book includes chapters on units of competition, planning and scheduling, national organizations and sports

information sources, tournaments, and specialized programs for the handicapped.

Institutions in recent years have responded effectively to the rapidly expanding interests of students in recreational sports. In terms of both facilities and programs, there are now extensive opportunities for students to learn new skills, socialize, and improve their health. Kleindienst and Weston's book describes the programs and presents the operational procedures that can enable institutional managers to establish and maintain effective campus recreational sports programs.

37:6.0/78-2

Women and Sport: From Myth to Reality, Carole A. Oglesby, 256 pp. (Lea and Ferbiger, Philadelphia).

The growth of women's sports on campuses throughout the country has been dramatic in the past decade. Opportunities for equal participation for women at all levels of competition are now assured by law, and administrators responsible for providing sports programs for women are finding that these undertakings require a great deal of effort. Equality in facilities, coaching support, travel funds, equipment, and scholarships are now well-established principles, but few institutions have translated these principles into reaiity. Moreover, many leaders in the male-dominated college sports community have not come to understand the changed nature of women's role. This book, written by 13 women professionals, is an important effort to assist in the understanding of women's relationship to athletics. For the campus manager and academic planner, it can provide valuable insight regarding the problems, issues, and aspirations of women in sports.

There are 13 chapters in the book, on such topics as sex stereotyping, achievement-related motives and the woman athlete, socialization into sport, and physical parameters used for female exclusion from athletics.

One of the best chapters for campus managers to read is entitled "Federal Civil Rights Legislation and Sport," written by Elizabeth R. East. It chronicles the development of legislation and regulations concerning women's opportunities in sport, and provides supporting information and an extensive list of references.

Also of particular interest to institutional managers is the final chapter, "Women and the Sport Governance System" by Carole A. Oglesby. The four major collegiate sports organizations are discussed in terms of their impact upon the campus and the athlete, as well as in relationship to other national sports groups.

This book is valuable to academic leaders because of the insight it provides regarding the special needs, problems, and goals of women in sports, and for the excellent analyses of the major issues institutions must address in developing equal athletic opportunities for all their students.

37:6.0/76
Sports in America, James A. Michener, 466 pp. (Random House, New York).

It is perhaps ironic that clearly the most perceptive, comprehensive, and scholarly book on sports has been written by one of our most prominent novelists, James Michener, as opposed to someone in the athletic or physical education field itself. This book preser s an insightful and exhaustive treatment of the major issues and prc jlems of sports, with an emphasis upon college athletics. However, as Michener argues, an understanding of college sports necessitates a review of professional sports, the media, the role of the Government, and the emphasis upon competition and violence in society.

The 13 chapters of this most readable book are entitled: (1) Basic Principles; (2) Ways of Participation; (3) Sports and Health; (4) Children and Sports; (5) Women in Sports; (6) Sports and Upward Escalation; (7) Colleges and Universities; (8) The Athlete; (9) The Inescapable Problem; (10) The Media; (11) Financing; (12) Government Control; and (13) Competition and Violence.

Michener presents specific examples in discussing the various issues, as well as pertinent research studies on the value of sports and exercise. It is his insights into the inherent value of sports and exercise that are most valuable. A reading of this book should provide those responsible for the administration of collegiate athletics programs with a better understanding of the role of sports in relation to the teaching program, a greater appreciation of the contributions these programs can make to the campus and to the individual student, and very helpful insight regarding the establishment of effective and humane policies and practices.

37:6.0/71
Administration of Athletics in Colleges and Universities, Edward S. Steitz, 341 pp. (American Association for Health, Physical Education and Recreation, Washington, D.C.).

This book is the result of a joint project of the National Association of College Directors of Athletics and the American Association for Health, Physical Education, and Recreation. The editor served as chairman of the steering committee which directed the project.

The purpose of the book is to present a comprehensive guide to the institutional administrator regarding college sports. There are 13 chapters, each written by an authority in that particular aspect of athletics administration. There is also an extensive appendix, which includes sample contracts, schedules, budgeting forms, travel and safety procedures, and television broadcasting policies used by institutions.

Chapter 2, "Business Procedures," includes sections on budgeting athletic programs, accounting practices, purchase and operation procedures, the use of computers in athletics, and fund raising. The next four chapters review: equipment and supplies; planning, construction and maintenance of facilities; school law and legal liability; and the administration of athletic events.

Among the best chapters in the book is "Health Aspects," by Ernest B. McCoy. Sections are included on medical supervision, nutrition, health insurance, and safety procedures. Extensive supportive research is cited and operational procedures are recommended.

Another chapter of special note is "Responsibilities to the Student Athlete" by Lysle L. Butler. Eligibility, academic retention, recruiting, guidance, advisory and tutoring functions, separation of the athlete from the student body, invasion of student time, and student awards systems are topics covered in this chapter. In this most controversial area of athletics administration, educationally sound guidelines and principles are presented, which if followed, could prevent the exploitation of student athletes and the subsequent scandals that have been publicized recently.

Other chapters included are public relations, the director and the staff, intramurals, intercollegiate sports for women, and professional organizations.

Institutional managers should find this book useful for its comprehensive treatment of the major functions of athletics administration, and for the extensive presentation of procedures designed to insure good practices.

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Teaching and Learning

Wilbert J. McKeachie
and Stanford C. Ericksen
assisted by Edward D. Kiely

The subject of teaching and learning is restricted in this volume to the collegiate level. However, represented here are the long traditions of experience, theory, and research from all levels and types of education that illuminate and establish our present-day understanding of teaching and learning as a whole and as applicable to collegiate faculty and students.

College teachers are of many dispositions so that no one style or teaching method is ideal for all. Usually discourse on teaching is aimed at classroom presentation, but the topic here is expanded to include course planning, testing and grading, counseling, and other activities that support student learning. The traditions of college teaching go back for centuries, so a rich lore of teaching wisdom has accumulated. Teachers today are the inheritors of a high degree of expertise in our craft.

Teaching is more than an "art" however; it is a professional responsibility supported by a substantial body of systematic knowledge and understanding. An increasing number of scholars have specialized in teaching and learning

theory, and their research has contributed greatly to our present understanding of this complex process.

There is no commonly employed arrangement of literature in this field. For purposes of this bibliography, the complementary activities of *teaching* and *learning* are distinguished, together with the persons involved—*students and teachers.* Also, references on professional approaches to *instructional development and institutional support* of teaching and learning are presented in a separate subsection. (The special aspects of teaching and learning with older adult students are treated in Topic 34: Lifelong Learning.)

Teaching. This section presents general guides for college teaching. Omitted are specialized references dealing singularly with a particular teaching method, e.g., PSI, computers, remedial support, experiential, etc. Most of the general works cited include chapters on these aspects of instruction.

Learning. For the most part the books cited on learning are written for college teachers rather than as textbooks for students or as reviews of the research on learning and thinking. In many of the volumes reviewed, a thematic inclination to emphasize the factors influencing the educational progress of students-as-learners may be found.

Students and Teachers. These selections highlight the interaction between teachers and students, clearly recognizing that instruction is not a one-way process.

Instructional Support and Development. These references provide comprehensive treatment of various instructional affairs topics written by instructional specialists with their colleagues as the intended audience. Administrators will benefit particularly from knowledge of development and support requirements necessary for the establishment and nurturing of effective teaching and learning.

TOPIC ORGANIZATION

38: Teaching and Learning

1.0 Teaching
2.0 Learning
3.0 Students and Teachers
4.0 Instructional Support and Development

1.0 TEACHING

38:1.0/80-1

College Teaching Today, Kenneth H. Hoover, 405 pp. (Allyn and Bacon, Inc., Boston).

Billed as "a handbook for postsecondary instruction," this book is an outgrowth of the author's similar work on instruction for secondary school teachers. It is a valuable source book of instructional techniques, methods, and strategies for college teaching. Working from the premise that *processes* of learning are more important than *products* and the notion that college education should help the student cope with professional responsibilities after college, the author treats college instruction from a conceptual framework of problem solving (i.e., decisionmaking or reflective thinking).

The scope of the book is quite extensive, including 6 major units covering 17 chapters and 3 useful appendixes. Unit I describes preinstructional activities such as establishing instructional objectives and lesson planning. The next 3 units present 10 chapters treating a spectrum of instructional methods and techniques. For example, Unit 'I deals with the individual and small group, Unit III with the large group, and Unit IV with affective learning. The range of methods covered is commendable. Chapters on the seminar method, questioning strategies, review and practice procedures, and encouraging creativity are particularly useful. Unit V describes assessment techniques for measuring learning and evaluating student progress, while Unit VI deals with the evaluation of teaching competence. The final chapter presents writing techniques to promote professional growth through publishing efforts. The chapters are systematically organized, each following a very similar format including overview and rationale; fundamental properties and step-by-step description; summary of value, limitations, and problems; and sample applications or illustrations. The course evaluation forms presented in the third appendix section are also of particular interest and utility.

38:1.0/80-2

Learning, Cognition and College Teaching, New Directions for Teaching and Learning, W. J. McKeachie, ed., 160 pp. (Jossey-Bass, San Francisco).

Within the past two decades, the psychological research on learning has undergone a revolution. Theories of learning based on stamping in associations between stimuli and responses through rewards have been displaced by theories dealing with cognitive processes going on inside the learner's mind. Today's cognitive psychologists (like their predecessors) continue to be hardheaded about empirical tests of

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theory in terms of behavior, but are more willing than the experimenters of a generation ago to deal with complex human learning and the cognitive processes involved in the sort of learning going on in college classrooms.

In this volume, McKeachie has gathered together some of the leading researchers in the area related to cognitive psychology and asked them to describe thei, research and its implications for college teaching. While the chapters differ in degree of relevance for immediate application, they do provide a new perspective with which to understand how students learn, remember, and use their experiences in college and university courses.

Chapters by Donald Norman, by Jill Larkin, Joan Heller, and James Greeno, and by Gary Olson, Susan Duffy, and Robert Mack deal with how students read, write, think, and solve problems. Ruth Day and Wilbert McKeachie deal with lectures from the perspective of student note-taking and lecturing from notes. Richard Snow and Penelope Peterson show how differences in student abilities, anxiety, and other attributes affect their responsiveness to different teaching methods. The book thus illustrates ways in which contemporary cognitive psychology can illuminate and improve college teaching.

38:1.0/80-3
Improving Teaching Styles, New Directions for Teaching and Learning, Kenneth E. Eble, ed., 107 pp. (Jossey-Bass, San Francisco).

This is the first source book in a new Jossey-Bass series on "New Directions for Teaching and Learning." Dr. Eble is editor of the full series as well as of this volume. In his first chapter, Eble probes some of the mysteries of style and shows the comprehensive meaning of "style." "It has been confused," he notes, "with affection, denigrating as a kind of posturing to mask a lack of substance, or tolerated as a natural manifestation of personal eccentricities....To me, style as applied to teaching is not merely a high-fashion concept, and research into the relationship between teaching styles and their impact on students gives some support to my contention."

The follow-up chapters and their authors are: "From Counterculture to Counterrevolution: A Teaching Career, 1959-1984" by Joseph Axelrod; "Conscious Teaching: Helping Assistants Develop Teaching Styles" by John T. Granrose; "The Teacher as Leader" by Edward Glassman; "Teaching as an Interactive Process" by Mary Lynn Crow; "Working with Faculty Teaching Behaviors" by Bette LaSere Erickson and Glenn R. Erickson; "A Strategy for Developing Desirable Teaching Behavior" by Richard E. Ishler and Margaret F.

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Ishler; "Faculty Growth Contracts" by Peter Seldin; and "Future Considerations and Additional Resources" by Kenneth E. Eble.

These statements are well documented and serve as an excellent updating on developments basic for good college teaching. The whole thing hangs together more tightly than one might expect from an edited volume and represents a mature and discriminating analysis of teaching without compromising the complexities of the college classroom.

38:1.0/78-1

Guide to Effective Teaching, 175 pp. (Change Magazine Press, New Rochelle, N.Y.).

During 1976-78, *Change Magazine* published five separate Reports on Teaching presenting, by discipline groups, significant instructional projects carried out by teachers in colleges and universities across the country. This material has been selectively combined and edited for this book under 10 major teaching strategies: I. The Lecture; II. Computers; III. Simulations; IV. Peer Teaching; V. Case Studies; VI. Self-Pacing Modules; VII. Multimedia; VIII. Field Study; IX. Problem Solving; and X. Research.

Based on visits, interviews, and reports by the discipline teacher, most of the original statements were prepared by professional writers. The free-flowing descriptive accounts hold the reader's attention to examples of successful ventures in teaching. The aim is to represent the qualitative features of the local effort rather than to draw generalizations or to analyze the conceptual underpinnings of a particular instructional arrangement. The individual reader/teacher will need to extract information that seems appropriate for adapting into his or her own course of study.

This valuable compilation confirms the diversity and the quality of instructional development and experimentation underway in most of the disciplines and at 2-year, 4-year, and graduate universities. These reports will encourage institutions and individual faculty members to undertake alternate means for enhancing the impact of the classroom teacher.

38:1.0/78-2

Teaching Tips: A Guidebook for the Beginning College Teacher (Seventh Edition), Wilbert J. McKeachie, 338 pp. (D. C. Heath Co., Lexington, Mass.).

Probably no other book on college teaching has been used by more college and university teachers than *Teaching Tips.* Growing out of the author's experience in training graduate students in college

teaching and in conducting research on the interaction between college student characteristics and teaching methods, the book includes a summary of research findings, theoretical perspectives, and practical hints on most of the major aspects and methods of college teaching, including course preparation, lecturing, leading discussions, laboratory methods, project methods, computer-assisted instruction, modular instruction, audiovisual techniques, role playing, instructional gains, testing, grading, and evaluating and improving teaching.

The final paragraph of the book provides an apt summary of the author's viewpoint: "Enjoyment of teaching is important not only for the enthusiasm professors communicate to their students, but also in determining their interest in continued improvement. Both of these important values are likely to be lost if teaching becomes so routinized and depersonalized that it is no longer fun. Motivated teachers are able to respond to feedback from their students in order to achieve better and better approximations to optimal solutions to the problems of teaching. As additional information from research accumulates and as better conceptualizations emerge, they should be able to do an even better job."

38:1.0/78-3

How to Succeed as a New Teacher: A Handbook for Teaching Assistants, 63 pp. (Change Magazine Press, New Rochelle, N.Y.).

Teaching assistants are virtually indispensable in many graduate universities. Yet, too often, the teaching assistant is a neglected, overlooked, underrated, and forgotten citizen. This 63-page pamphlet, based in large part on handbooks developed at Stanford and UCLA, is a concise and practical first source of information for teaching assistants. It is also a guide for those engaged in designing handbooks and local training programs for TA's.

The content ranges from problems of ordering books to dealing with students who never speak in class. A section discussing administrative matters is followed by a section that briefly gives tips on giving lectures, leading discussions, teaching in the laboratory, and handling the first class meeting. Testing, grading, and course evaluations are covered in the next section, followed by general comments on anxiety of the teaching assistant, faculty relations, and student characteristics. The final chapter describes TA training programs at several major universities and is a good source for those developing such programs. A brief annotated bibliography follows.

38:1.0/78-4

Instructional Techniques in Higher Education, Robert B. Kozma, Lawrence W. Belle, and George W. Williams, 419 pp. (Educational Technology Publications, Englewood Cliffs, N.J.).

The teacher's task is becoming more complicated; instructional methods are incorporating new resources while, at the same time, teachers are adapting to a more heterogeneous population of students. These three authors are experienced specialists in the area of instructional development and have written a discriminating analysis of how, within the context of the realities of the academic climate today, teachers might best use the expanding inventory of instructional resources.

The first eight chapters are essentially an account of this context as the authors examine, for example, what is meant by the "subject matter," the dominant characteristics of "the student," and the overall responsibility of the teacher with respect to "evaluation."

Section 2, *Techniques and Methods of Teaching,* includes six chapters on "One-Way Media," three chapters on "Two-Way Media," and six final chapters on "Self-Instructional Media." The distinctive contribution of this book is the account of these various means by which an instructor makes knowledge available to students.

The chapters are well documented, and the treatment of the various media is an appropriate balance of how-to-do-it and why-to-do-it—the means by which instructors can make an effective presentation by way of the lecture or by the use of supplemental aids such as the visual media, computers, discussion techniques, role playing/simulation, and other behavioral "technologies," such as programmed instruction, self-paced instruction, independent study, and the like.

38:1.0/78-5

On College Teaching, Ohmer Milton and Associates, 404 pp. (Jossey-Bass, San Francisco).

What do experienced and successful teachers have to say when talking about this enterprise with their colleagues? The 14 coauthors are, for the most part, teachers from specific disciplines who hav a special interest in the larger domain of instructional affairs. There is no ambiguity about the prime audience: classroom college teachers.

The successive chapters in the book deal with *aspects* of teaching such as clarifying objectives, lecturing, leading a discussion, using computers, simulation/gaming, providing experiential learning, or

working with older students. These activities are never really integrated to create an image of the teacher as a self-sufficient individual. The chapters are only passively linked and cross-referenced.

Some of the chapters tend to lean in the show-and-tell direction as the writers concentrat on telling what their assigned topic is all about as viewed by a particular instructional practitioner. Nevertheless, this is a significant contribution, one that will be well received by those college teachers interested in a readable presentation of the conventional functions of a teacher. The editor purposely omitted treatment of media, since this area is well covered in other publications, and there is no chapter on the teacher as a counselor. But the book is large enough (404 pages) and solid enough as it stands.

38:1.0/76
The Craft of Teaching, Kenneth E. Eble, 179 pp. (Jossey-Bass, San Francisco).

For college teachers across the land, this should be a priority selection. The author is a professor of English who treasures his discipline while at the same time studying and writing about his craft as a teacher. He does not strain at linking research on learning to teaching, or at discussing the relevance of personality and motivation theory or research on group dynamics. "My stance," he says, "does not deny that pleasure and pain, rewards and punishment, are powerful human motivations. But as a learner, a teacher, and a teacher counseling teachers, I take my stand on the side of pleasure." Thus, he speaks directly to the task of the teacher interacting with students and a body of knowledge. His observations and generalizations are valid and useful to college teachers across disciplines.

Following a two-chapter orientation, six chapters are about the skills of teaching, such as "The Lecture as Discourse," "Discussion," and "Seminars, Tutorials, and Advising." The next set of chapters addresses such topics as texts, assignments, tests, and grades. The book closes with three chapters on learning to teach.

The distinctive quality of this book is its comprehensive treatment of the major functions of a college teacher presented in a language which is realistic, interesting to read, and challenging without being angry. Eble respects the dignity and the importance of college teachers, and his discourse is an excellent example of an experienced and discriminating teacher writing forthrightly and with insight about his craft for colleagues on the faculty.

See also: 4:5.0/76 Accent on Learning: Improving Instruction and Reshaping the Curriculum, K. Patricia Cross.

38:1.0/75-1

College Professors and Their Impact on Students, Robert C. Wilson, Jerry G. Gaff, Evelyn R. Dienst, Lynn Wood, and James L. Bavry, 220 pp. (John Wiley & Sons, New York).

This report of research carried out by members of the Center for Research and Development in Higher Education at the University of California, Berkeley describes the results of two studies of college and university teachers, the first using data from 1,000 faculty members at six colleges and universities and the second from both faculty members and students at eight colleges and universities. What is particularly valuable in this book is that the information from faculty about their own teaching can be compared to student ratings of teaching and to information from colleagues. Thus, one is able to determine whether or not the students' perceptions of the impact of teachers upon their learning correlate with faculty members' own perceptions and colleague ratings. Fortunately, the three sources do seem to converge in identifying a group of faculty members who are particularly effective, and Wilson, Gaff, and their colleagues are able to provide a number of generalizations and suggestions about characteristics of professors who affect students favorably and about ways in which professors generally may improve their teaching to increase their impact upon the development of students. Basically, these researchers found that effective teachers more often go beyond the prescribed role of transmitting knowledge and skills than do their colleagues. They are more highly committed to teaching and work harder at stimulating student interest in their courses. They interact with students more, not only with regard to course material, but also with regard to current social, political, and cultural issues. They tend to treat students as partners in the learning enterprise rather than in an authoritarian manner.

Such teachers are described as being available and open to discussion and tend to spend more time in student gathering places. These effective teachers are not simply gregarious; they are described by students as demanding high quality work and making the students feel confident of their own abilities. Furthermore, the effects are not simply ones perceived by faculty and students; the authors present data that students actually changed in intellectual orientation as measured by tests such as the Omnibus Personality Inventory.

38:1.0/75-2

Teaching Students, Donald Bligh, G. J. Ebrahim, David Jaques, and David Warren Piper, 288 pp. (Exeter University Teaching Services, Devon, U.K.).

A number of British centers have developed materials for post-secondary teachers that are usable not only in Great Britain but also in America and other countries as well. This volume gives a comprehensive coverage of the major topics likely to be useful to a beginning university teacher, or to anyone concerned about the improvement of college and university teaching. The book is based upon a general model emphasizing establishment of objectives as the first step in developing a syllabus, selecting students, choosing teaching methods, and assessing student learning. The primary goal of teaching is taken to be that of teaching students to think; illustrations of course planning designed to attain this goal are developed with respect to medicine in developing countries, agricultural education in India, and the Open University in Great Britain.

The book deals with the assessment of students, student characteristics, the curriculum, teaching methods, and diagnosing and treating deficiencies in a course. A good deal of use is made of American research and experience. Although there is a generally confident view of the value of various methods of improving teaching, the authors are not dogmatic and present both the strengths and weaknesses of the methods described. Moreover, the authors take an appropriately skeptical view of a number of the methods that have sometimes been promoted as panaceas for problems of college teaching.

38:1.0/75-3

Excellence in University Teaching, Thomas H. Buxton and Keith W. Prichard, 291 pp. (University of South Carolina Press, Columbia).

This is a collection of thought-provoking personal essays on college teaching and learning by 25 outstanding university teachers from a variety of disciplines and institutions singled out by their institutions as outstanding teachers.

Each faculty member selected was asked to "write an essay on his classroom experiences and his reflections thereon." Essays oriented toward the traditional classroom framework are presented first, and some less traditional approaches follow. The statements exhibit a refreshing diversity of teaching styles, disciplines represented, and substantive issues, as well as writing styles and presentations.

While designed to instruct the beginning teacher, any college or university teacher could profit from these forthright descriptions of what successful teachers have found to be effective. In addition, a well-prepared and relatively complete (although somewhat dated) annotated bibliography on university teaching and the index nicely supplement this book.

38:1.0/74

Theories for Teaching, Lindley J. Stiles, ed., 177 pp. (Dodd, Mead, and Co., New York).

"There is nothing as practical as a good theory." This quotation from Kurt Lewin concludes this unique volume written "to show how various kinds of theories can help to shape the nature and contributions of teaching." In this book, sponsored by the Center for the Teaching Professions at Northwestern University and the W. K. Kellogg Foundation, 14 authors from various academic disciplines and professional fields and the editor combined their knowledge and experience. A unique "team process" was used whereby various author groups wrote individual chapters, yet all were continually involved in evaluating the progress of other chapters as well as the manuscript as a whole.

The introduction to the book states two purposes: (1) to develop a professional foundation for selecting alternative strategies for promoting learning in particular situations with specific learners, and (2) to stimulate scholars and researchers to give more attention to the plurality of influences that various theories may exert on teaching. The aim of the book is clearly on theory—theories *for* teaching as opposed to theories *of* teaching—and not on practice or "how to teach." The authors concur that there is no single theory for teaching, and the individual chapters show how different theoretical approaches shed light on various aspects of the teaching/learning processes.

See also: 24:1.1/79 **College and Character** by Nevitt Sanford and Joseph Axelrod, eds., which is an excellent source for college professors and administrators seeking a thoughtful perspective on college students, teaching, and the nature and organization of colleges and universities. See particularly Part III, *Personal Development and the College Experience,* and Part V, *New Teaching—New Learning.*

2.0 LEARNING

38:2.0/79

"Information Processing Analysis of College Teaching," Robert A. Bjork, *Educational Psychologist*, Vol. 14, pp. 15-23.

Bjork suggests that the recent research on human information processing provides a number of principles with potential usefulness in college teaching. He illustrates this point by suggesting four such principles: (1) spaced presentations yield better long-term recall than massed study or presentations; (2) when information is encoded in different ways, it is more likely to be remembered and used functionally than if the same information is simply repeated in the same way; (3) the retention of information is greater when information is processed to greater depth than if it is processed at a surface depth (such as by rote memorization); and (4) structure facilitates acquisition and memory of information. Bjork not only describes the four principles but suggests ways in which these principles might be applied to student studying, course design, and lecturing. This article is included as an example of what a top researcher writes to teaching colleagues in his own discipline about the implications of research in his field.

38:2.0/78

Symposium: Learning Processes and Strategies, N. W. Entwistle, ed., *British Journal of Educational Psychology*, as cited below.

This symposium, published over the space of three years in the *British Journal of Educational Psychology*, reports research and theory dealing with learning processes and student strategies of learning with direct relevance to college teaching and learning.

British Journal of Educational Psychology, Vol. 46, Part I, Feb. 1976, pp. 1-50.

"The Verb 'to Learn': 'To Learn' Takes the Accusative," N. J. Entwistle,

"On Qualitative Differences in Learning: I—Outcome in Process," F. Marton and R. Saljo,

"Conversational Techniques in the Study and Practice of Education," G. Pask,

"Retroactive Interference in Meaningful Learning," M. J. A. Howe and L. Colley,

British Journal of Educational Psychology, Vol. 46, Part II, June 1976, pp. 115-154.

"On Qualitative Differences in Learning—II: Outcome as a Function of the Learner's Conception of the Task," F. Marton and R. Saljo,

"Styles and Strategies of Learning," G. Pask,

"The Influence of Questions Encountered Earlier on Learning from Prose," M. J. A. Howe and L. Colley,

British Journal of Educational Psychology, Vol. 47, Part III, Nov. 1977, pp. 233-247.

"On Qualitative Difference in Learning: III—Study Skills and Learning," L. Svensson,

"On Qualitative Differences in Learning: IV—Effects of Intrinsic Motivation and Extrinsic Test Anxiety on Process and Outcome," A. Fransson,

British Journal of Educational Psychology, Vol. 48, Part IV, Nov. 1978, pp. 255-265.

"Knowledge Structures and Styles of Learning: A Summary of Pask's Recent Research," N. J. Entwistle.

These significant reports of research in British and Swedish universities and laboratories deal with adult students learning materials taken from, or at the level of, college and university assignments. The authors develop quite rigorous theories of how students and faculty members communicate to facilitate the student's learning of knowledge structures in such areas as economics, physics, chemistry, mathematics, and biology. They not only demonstrate that students approach study with different strategies, but that the strategies can be modified by appropriate questioning and testing procedures. Moreover, students are not always aware of the sorts of strategies that they can use most effectively so that, when given a choice of approaches, students sometimes choose inappropriately.

Anxiety and lack of intrinsic motivation were found to increase the tendency to study materials superficially and to recall them by rote, while "deer 'evel" strategies were more likely to be used when the student was low in anxiety and had a strong interest in the material. These results are illustrative of the wide variety of studies reported in this symposium.

38:2.0/77

The Conditions of Learning, Third Edition, Robert M. Gagné, 339 pp. (Holt, Rinehart and Winston, New York).

A good teacher knows something about how students learn, and this book is an excellent and widely used orientation to this topic. It is

aimed primarily at students preparing to teach, but college teachers and administrators also will benefit from knowing more about the primary conditions for learning. Professor Gagné is himself an experienced college teacher, and instructional implications pervade almost every page.

The basic structure of the book is developed around five basic forms of learning: (1) intellectual skills (discriminations and concept learning); (2) cognitive strategies; (3) verbal informational learning; (4) motor skills; and (5) attitudes. Science and engineering teachers often place considerable emphasis on problem solving, and Chapter 7 is a careful analysis of this extremely complicated process. It is a good lead into a more recent and advanced technical book, *Problem Solving and Education: Issues in Teaching and Research,* edited by David T. Tuma and Frederick Reif, (Lawrence Erlbaum Associates, Hillsdale, N.J., 1980.).

The literature on human learning is, of course, extensive, but this third edition of Gagné's book has been selected as a useful integration of the accumulated knowledge of the past 100 years of research in this field, which at the same time incorporates current developments in the general domain of cognitive theory.

38:2.0/76

Teaching Strategies for the College Classroom, James R. Davis, 136 pp. (Westview Press, Boulder, Colo.).

"A graduate student chided me recently as we passed four rows of empty stacks in a section of our new library: 'This is where we keep our accumulated wisdom on the teaching-learning process.' But the plea of ignorance, once a convenient rationalization, is increasingly a display of ignorance. We do 'know' some things about how people learn, and the things we know have clear implications for teaching. ...how behavior is affected by reinforcement, how people process and remember information, how question-asking behavior is related to learning, and how people learn through active involvement in small groups. There are teaching strategies that a college teacher can learn to employ effectively in a classroom."

The argument and the examples reflect the author's sensitivity to the variety of instructional problems faced by college teachers; he appreciates the realities of a college classroom and presents the major features of four basic "strategies" derived from more basic research:

Strategy 1: Employing Instructional Systems. A summary of behavioral theory and the instructional emphasis derived therefrom— defining behavioral objectives, self-paced instructional systems, pro-

grammed instruction, computer-assisted instruction (CAI), mastery learning, and the like.

Strategy 2: Communicating Through Lectures. The classroom implications derived from cognitive theory and the research on perception, information-processing, and memory.

Strategy 3: Facilitating Inquiry. Problem-solving and thinking (inquiry).

Strategy 4: Utilizing Group Processes. Opinions, attitudes, and beliefs are rooted in group behavior.

The writing style is clear, with a pragmatic emphasis on teaching. This not a technical treatise and will be particularly helpful to the reader who can provide personal examples to test the meaning of the conceptual points outlined in this small but resourceful volume.

38:2.0/75

How Students Learn, Noel Entwistle and Dai Hounsell, eds., 199 pp. (University of Lancaster, Institute for Research and Development in Post Compulsory Education, Lancaster, U.K.).

A series of thoughtful chapters describe different views of learning and their implications for teaching. Chapters by Gagné, Skinner, Broadbent, Lindsay and Norman, Ausubel, Bruner, and Marton describe major current approaches to learning. Chapters by Perry, Rogers, Maslow, and Paffard deal with broader aspects of student development and learning of the sort sometimes encompassed by the term "humanistic education," so that the book spans the continuum from control to freedom in teaching-learning.

This book should help faculty members become aware of the implicit assumptions they make about learning, as well as alternatives derived from basic research in information processing, cognitive psychology, and the psychology of learning. The reports are readable, and Entwistle and Hounsell provide a final chapter that summarizes and integrates the contributions in the preceding chapters.

38:2.0/74

Motivation for Learning, Stanford C. Ericksen, 259 pp. (University of Michigan Press, Ann Arbor).

In a practical fashion, the author brings together significant applications from research and theory about learning, motivation, personality, and group dynamics. The book says more about the conditions for learning than about the techniques of teaching. This tilt is carried further in the particular attention given to the individual student. Chapter 2, for example, is titled "The Theory of the Learner" rather than "Theories of Learning Applied to Teaching."

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Several chapters are based on the author's *Memo to the Faculty* series at The University of Michigan. Thus, emphasis is placed on the concepts, issues, and trends relevant to a somewhat conservative group of professors who reserve the right to make their own decisions about how-to-do-it. The teacher is recognized as the final decision-maker, but the author lays out the conceptual arguments supporting various instructional actions.

Chapter 9, "On Teaching Students How to Think," is characteristic, with its emphasis on the individual student and the aims of education. "Teaching students how to think," the author notes, "is asking for trouble. Habit produces conformity and predictability, but thinking produces diversity, nonconformity, and challenges not anticipated by the teacher.... By accepting and learning to encourage diversity, and by freeing his students to acquire distinctive attitudes and different beliefs, and to test new ideas, the college instructor teaches his students how to think and how, thereby, to become a dithering influence within a discipline speciality or in an otherwise complacent society."

3.0 STUDENTS AND TEACHERS

38:3.0/79

Improving Student Learning Skills, Martha Maxwell, 518 pp. (Jossey-Bass, San Francisco).

For various reasons, many students entering college today lack basic skills in reading, writing, arithmetic, and learning. This book provides practical suggestions for remedial education. The author begins by describing methods of diagnosing deficiencies in basic skills, discusses how to organize successful programs, tutoring services, learning centers, etc., describes psychological characteristics of under-prepared students, and then devotes a chapter to each of the basic skills—writing, reading, studying, mathematical skills, and science skills.

For improving writing, she suggests workshops and small classes and teaching teachers how to write. For mathematics, she recommends mastery learning in pairs as well as flexible schedules to allow more time.

38:3.0/76-1

Student Success, Tim Walter and Al Siebert, 133 pp. (Holt, Rinehart and Winston, New York).

This is a practical guide on "how to be a better student and still have time for your friends." Its down-to-earth style, Peanuts cartoon illustrations, true-to-life examples, and step-by-step advice have made

it a pleasantly readable and popular aid to students seeking to improve their learning skills and study habits. Backing up advice with psychological principles regarding such matters as memory, learning, and behavior modes, the authors focus on practical tips about how to be more successful in school. Topics covered include choosing goals, setting up a schedule, taking notes, reading the text, asking intelligent questions, preparing for taking tests, writing papers, and more. Also included are chapters on self-development and having friends.

38:3.0/76-2

Individuality in Learning, Samuel Messick and Associates, 382 pp. (Jossey-Bass, San Francisco).

The purpose of this book is "to explore the practical implications of recent research on cognitive styles and creativity" and accelerate the application of this research to educational practice.[1] The emphasis of the book is on individual differences in the *processes* of cognition and creative thinking (rather than on differences in prior learning or achievement) as a basis for individualizing education for more effective learning. The research evidence reviewed here clearly shows that different students learn best using different, idiosyncratic styles, modes, and strategies. And the major implication is that colleges and universities should be at work developing programs to accommodate the individual differences of their students.

Leading figures in their area discuss the literature pertaining to differences in cognitive style, sex, cultural background, creativity, and environmental influences, and the implications these differences have for higher education. The volume begins with an excellent introductory chapter including an indispensable glossary of cognitive-style dimensions. Each subsequent section begins with an overview and major review of research in a more specific area, followed by commentaries from two authors presenting contrasting interpretations, highlighting problems, and drawing implications for educational practice. Messick's epilogue nicely concludes the book with a discussion regarding matching and mismatching of styles and a challenge to the college educator to respond to the issues of individual variation among students with flexible and creative new programs.

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[1]This annotation was adapted in part from a review by Robert B. Kozma in the *Journal of Higher Education,* 1978, Vol. 49, No. 2.

38:3.0/72

The Changing College Classroom, Philip Runkel, Roger Harrison, and Margaret Runkel, eds., 359 pp. (Jossey-Bass, San Francisco).

The core of this book is a series of chapters describing courses involving changes in teaching methods and in traditional student-teacher relationships. Most of the descriptions offer enough detail to give the reader a sense of the actual processes going on and a sense of the "flesh and blood" of the teachers and students involved. Typical titles are: "Community as Campus—Project Outreach" by Cytrynbaum and Mann; "The Campus as Laboratory" by Runkel; "Creativity for Engineers" by South; and "Experiment on a Black Campus" by Friedman.

These core chapters are preceded by two chapters stressing the goal of self-directed learning and suggesting changes in the theoretical assumptions on which teaching and learning usually rest. The core chapters are followed by two chapters analyzing the implicit theory involved in the innovations plus a primer for designing one's own classroom innovations. While the book is brimming with the enthusiasm of the teachers, it also makes clear the difficulties and frustrations involved in giving students more responsibility for their own learning.

38:3.0/70

The College Classroom: Conflict, Change, and Learning, Richard D. Mann, Stephen M. Arnold, Jeffrey Binder, Solomon Cytrynbaum, Barbara M. Newman, Barbara Ringwald, John Ringwald, and Robert Rosenwein, 389 pp. (John Wiley & Sons, New York).

Most reports about teaching hit the more conspicuous high spots. These generalized pedagogical abstractions give way in this book to a far more penetrating analysis of what is happening between teachers and students. This older publication (1970) is widely cited, since it provides distinctive information about the dynamics of the classroom.

The book is an expanded report about the interactions between four relatively inexperienced teachers and about 25 students in each of four lecture-discussion classes in introductory psychology. Each class hour was taped, and an observer was also present. These tapes were analyzed to a fare-thee-well, and every incident and action evaluated and scored in terms of its inferred affective meaning.

As specialists in social psychology, the authors examined their findings in terms of a general conception of student "work" and

learning. Their initial chapter is an excellent taxonomy, for example, of dominant qualities of teachers. A similar "cluster" classification is given in Chapter 4, "The Styles and Adaptations of Students." The final three chapters emphasize a larger perspective about college teaching: "The Natural History of the Classroom," "The Process of Learning to Work," and "The Effective Teaching Culture."

In this distinctive volume, a high-powered lens is turned on the classroom to reveal the quality of interaction characteristic of many college courses. It may not massage our individual egos, but it certainly leaves the reader better informed about the sometimes subtle expressions of feelings among students and between teacher and students.

4.0 INSTRUCTIONAL SUPPORT AND DEVELOPMENT

38:4.0/79
Teaching-Learning Experiences for College Students and Other Adults: A Selected Annotated Bibliography, Robert J. Menges, 74 pp. (Center for the Teaching Professions, Northwestern University, Evanston, Ill.).

This is a comprehensive and relatively current guide to resources on the teaching-learning process at the college level compiled at the Center for Teaching Professions at Northwestern University. The entries are organized into four major categories (the four P's): *Preconditions* includes items concerned with characteristics of students, teachers, and subject matter. A section on *plans* deals with instructional goals and objectives, citing varying views on their importance as well as practical guides for preparing specific objectives and other descriptive information such as a syllabus. A long section devoted to *procedures* is divided into subsections on personal accounts of teaching, teaching-learning strategies, media and technology, the interpersonal dimension, and research on instructional methods and media. The fourth section, on *products,* lists sources concerned with the evaluation of learning and teaching. A fifth section lists general sources touching on several topics from the preceding categories.

The annotations are short—one sentence to one paragraph— summarizing the contents of each source. This selected bibliography is quite comprehensive, listing over 270 references identified and compiled on the basis of the work and experience of the Northwestern Center.

38:4.0/78-1
Instructional Development: The State of the Art, Ronald K. Bass and D. Barry Lumsden, eds.; Charles R. Dills, assoc. ed., 258 pp. (Collegiate Publishing, Inc., Columbus, Ohio).

Contributions to an Educational Technology, Volume 2, James Harley and Ivor K. Davies, 410 pp. (Kogan Page, London/ Nichols Publishing Co., New York).

Support for Teaching at Major Universities, Committee on Institutional Cooperation, Panel on Research and Development of Instructional Resources, Stanford C. Ericksen with John A. Cook, eds., 112 pp. (The Center for Research on Learning and Teaching, The University of Michigan, Ann Arbor).

Who talks with whom about instruction? The answer, in these three books, is a group of specialists in the area of instructional development writing primarily for their professional colleagues. Nevertheless, administrators in the instructional affairs of institutions will benefit from these reports. On-line teachers will also find many suggestions for improving the use of the classroom hour. Together, these reports provide a comprehensive updating of a variety of current developments, topics, and issues relating to the improvement of college teaching. The chapters are well documented with references to professional journals and to special publications outside the formal network of information exchange.

In the first book, 15 authors contributed to the 13 chapters; their treatments illustrate quite well how "instructional design specialists" define themselves and their role in a college or university. These topics range from systems theory to collective bargaining and the politics and economics of instructional development. One sleeper chapter, entitled "Comprehension and the Design of Instructional Materials," by Buford E. Wilson is an excellent analysis of new developments in research on human learning as applied to the college classroom.

The second book was created and published in England. The majority of authors are from that country, but there is a strong representation by educational R & D specialists from the U.S. It is a tightly packed encyclopedia (25 chapters) on a wide range of topics consistent with a broad and expanded definition of "technology." The first seven chapters are combined under the general heading "Theoretical Developments in Educational Technology," which includes a perceptive chapter on "Learning Theory and Practice." The next eight chapters are under the title "Procedural Techniques," and the final nine chapters emphasize "Applications."

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Rather than simply trying "to cover" the more conventional aspects of classroom instruction, the editors wisely selected authors who had some rather substantial points to make, which were supported by appropriate research. The book is not exclusively aimed at college teaching, but since most of the authors are college teachers, the examples and applications generally are at this level.

In the third book, 11 authors from the Big Ten universities give a thoroughly realistic appraisal of significant dimensions of institutional support for teaching. The writers represent the Panel on Research and Development of Instructional Resources of the Committee on Institutional Cooperation (CIC)—the Big Ten universities and the University of Chicago. For each of the preceding 14 years, this panel has published a compendium, *Development and Experiment in College Teaching,* which reports summary accounts of local instructional projects and educational programs.

The accumulated experience is reflected in the separate chapters on such topics as faculty development, providing information, special funds for the improvement of instruction, instructional technology, seminars, workshops, and consultation services, testing and grading, student evaluation of instruction, program review and instructional development, and the systematic involvement of students in program evaluation.

Certain topics are omitted, since no panel member was especially qualified to review, for example, counseling services or remedial instruction. The final two chapters dealing with program review provide useful information for this activity, which is becoming critical at many colleges and universities.

38:4.0/78-2

The Scientific Basis of the Art of Teaching, N. L. Gage, 122 pp. (Teachers College Press, New York).

Gage gave the Julius and Rosa Sachs Memorial Lectures at Columbia University in 1977. This extension of the lectures deals with the research evidence on effective teaching and the problems of carrying out research on teaching. In addition to reviewing research on teaching methods, Gage makes cogent suggestions about applying what we know in the field of teacher education and concludes with a thoughtful discussion about what could be done to improve research on teaching. He argues persuasively that we should not expect large differences in achievement in any experiment because so many variables affect learning and because effects may be revealed only over periods of time longer than the experiment. Nevertheless, even small relationships identified by research may be important.

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South Carolina Postsecondary Education Commission

Southern Regional Education Board

State University of New York at Buffalo

State University of New York at Stony Brook

Subcommittee on Revisions to Building Blocks

Study Commission on Pharmacy

Teachers Insurance and Annuity Association

United Nations Educational, Scientific, and Cultural Organization

U.S. Department of Health, Education, and Welfare, Office of Education

University Consultants Inc.

University of California, Berkeley

University of California, San Francisco

University of Georgia

University of Lancaster, Institute for Research and Development in Post Compulsory Education

University of Santa Clara

Western Interstate Commission for Higher Education

White House

Number of Entries by Year of Publication

1981 — 2

1980 — 47

1979 — 84

1978 — 88

1977 — 64

1976 — 52

1975 — 51

1974 — 51

1973 — 45

1972 — 35

1971 — 25

1970 — 19

1969 — 14

1968 — 15

1967 — 7

1966 — 6

1965 — 5

1964 — 3

1963 — 3

1962 — 2

1961 — 4

Annual — 2

Serial — 7

Total — 631

672

"END OF DOCUMENT"