

DOCUMENT RESUME

ED 455 719

HE 034 174

AUTHOR Nodine, Thad, Ed.
TITLE Shared Responsibility: Strategies To Enhance Quality and Opportunity in California Higher Education. A Report to the Governor, the Legislature, the Higher Education Community, and the Citizens of California.
INSTITUTION California Higher Education Policy Center, San Jose.
PUB DATE 1996-00-00
NOTE 18p.; California Higher Education Policy Center became the National Center for Public Policy and Higher Education.
PUB TYPE Numerical/Quantitative Data (110) -- Reports - Evaluative (142)
EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS *Access to Education; Accountability; *Educational Quality; Equal Education; *Higher Education; Public Policy; State Colleges; *Strategic Planning
IDENTIFIERS *California

ABSTRACT

This report suggests actions and policies that will take California higher education into the 21st century with a renewed commitment to college opportunity. The report recommends a new compact among the state, colleges and universities, and students and their families. It calls for shared responsibility and asks the state and the public to stabilize budgetary support, target additional funding to undergraduate enrollment growth, resist the construction of new campuses, and hold existing institutions accountable for enrolling additional undergraduate students. Two urgent questions are addressed. The first is whether California should continue its historic policy of finding a place on campus for all qualified applicants. This analysis is predicated on the expectation that California citizens will want to continue this tradition. The second issue is whether California actually can manage its higher education system in order to afford both access and quality in the next century. The report suggests 11 strategies to assure that California higher education can accommodate all eligible undergraduates regardless of their financial resources, and that it can maintain and enhance the quality of instruction, research, and public service. These strategies are also aimed at reducing, in the aggregate, the average cost of education per student. (Contains 18 endnotes.) (SLD)



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STRATEGIES TO ENHANCE QUALITY AND OPPORTUNITY IN CALIFORNIA HIGHER EDUCATION

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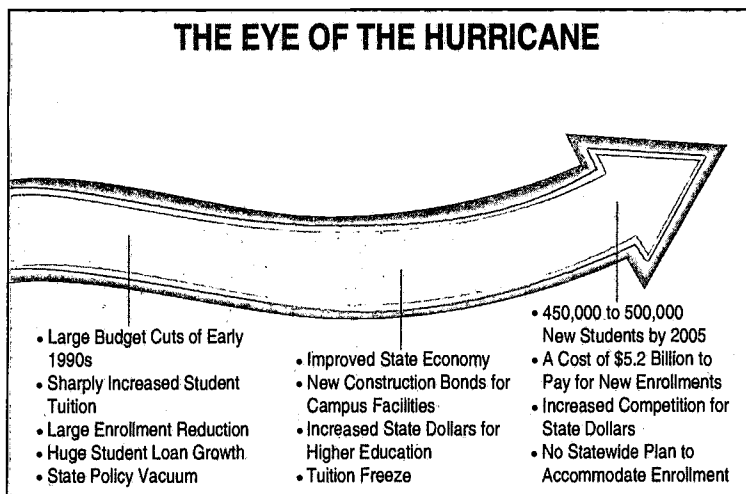
A Report to the Governor, the Legislature, the Higher Education Community, and the Citizens of California

California and its colleges and universities are in the eye of a hurricane. California higher education survived the initial storm of the recession in the early 1990s, albeit at the cost of reducing enrollments and

poorly maintained, and libraries and laboratories deteriorated.

The first part of the hurricane seems to have passed. There has been some recovery in the past two years, as student fees have been frozen and state operating support has increased, though only slightly above the inflation rate. Enrollments have begun to creep upward again, but much of the damage done during the first years of the decade is still unrepaired. Despite an improved state economy and better

budget prospects, this is not the time for business as usual—this is the illusory calm before the next storm. The next ten years will see almost a half-million *more* applicants knocking on college doors than are now enrolled. At the same time, state fiscal resources will be severely constrained, even if economic growth continues. Neither the state nor its higher education institutions have policies or plans to meet this challenge, and few in leadership positions seem willing to acknowledge the difficult times ahead. Yet there is real danger that the quality of this system will deteriorate or that



drastically increasing the cost to students who were admitted. Student fees rose sharply, and enrollments declined by more than 200,000. Alone among the major industrial states, California suffered a decline in the percentage of high school graduates moving on to college. Nearly 2,000 senior faculty members in the University of California, including many highly productive scholars and teachers, were persuaded to take early retirement—a process that a highly placed university official has called “random decimation.” The California State University laid off hundreds, if not thousands, of part-time faculty members, resulting in larger classes, heavier teaching loads and a widely perceived decline in academic quality. In the California Community Colleges, several districts came perilously close to financial ruin, as both state and local support dwindled. In all three public systems, buildings were

access will narrow. Now is the time to act if California's historic commitment to college opportunity—which must include both access and quality—is to be preserved.

This report—which suggests actions and policies that will take California into the 21st century with a renewed commitment to college opportunity—recommends that a new compact be forged between the state, the colleges and universities, and students and their families. This new compact for shared

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Strategies for Shared Responsibility

STRATEGY ONE

Create a public compact of shared responsibility to maintain opportunity and quality in higher education.

STRATEGY TWO

Expand the use of existing campuses and facilities; do not build new campuses.

STRATEGY THREE

Utilize the capacity of California's independent colleges and universities through student financial aid programs.

STRATEGY FOUR

Increase student fees modestly to contribute to the support of additional undergraduate students.

STRATEGY FIVE

Eliminate mediocre quality and low priority programs, and reallocate resources to those of highest quality and priority.

STRATEGY SIX

Accelerate student learning before and during college.

STRATEGY SEVEN

Establish an incentive fund to encourage cost-effective use of electronic technology for instruction.

STRATEGY EIGHT

Base college admissions on assessment of achievement.

STRATEGY NINE

Assess student learning.

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Assess the knowledge and teaching skills of new teachers.

STRATEGY ELEVEN

Deregulate colleges and universities.

(from preceding page)

responsibilities and benefits asks the state and the public to stabilize budgetary support, target additional funding to undergraduate enrollment growth, resist construction of new campuses, and hold the institutions accountable for enrolling additional undergraduate students. The compact asks colleges and universities to enroll all qualified students and reallocate resources to maintain—even enhance—quality with fewer new dollars for each additional student. It asks students and their families to bear their share through limited fee increases, and it asks students to work harder before and during college.

This compact of shared responsibility is needed now because California is in danger of revisiting a greater crisis than that of the early 1990s. The impending crisis results from the convergence of three factors:

- 488,000 *more* Californians than are now enrolled will be seeking a college education ten years from now;
- assuming business-as-usual practices, an *additional* expenditure of \$5.2 billion for programs and buildings over the next ten years will be required to accommodate this increased enrollment demand; and
- state revenues will be insufficient to support higher education at business-as-usual levels.

Standing alone, each of these findings would be cause for concern. In combination, they present an unprecedented challenge to California, one that approaches crisis proportions because of a fourth factor:

- the absence of overarching state policy on higher education to provide goals, direction and public accountability.

In response to this predicament, this report addresses two urgent questions.

First, *should* California revitalize its historic tradition of finding a place

on campus for all qualified applicants? Although there has been quiet erosion of this tradition, this report is premised on the belief that the ultimate answer will be affirmative. Who believes that Californians would deliberately deny to the next generation the benefits of quality education beyond high school that they and their parents enjoyed—individual benefits that have made the state the envy of the nation? All Californians are at risk if access is denied or quality declines. In the emerging era of rapidly changing work requirements and technology, of dramatic demographic shifts; and of a new and intensely competitive world economy, the state cannot afford to deny any Californian the chance to make the most of his or her life.

Second, *can* California manage its uniquely large and complex higher education system so that students, their families, and the public can afford both access and quality in the next century? This report asserts that it can, although only with extraordinary effort. The availability of a broadly accessible array of education and training opportunities beyond high school can no longer be taken for granted by Californians. In that spirit, this report offers a comprehensive policy framework for higher education's future.

Although the heart of this report is found in its recommendations for shared responsibility by the state, the public, higher education institutions, and students, the specific strategies that define the shared responsibility approach are

California Higher Education Facts

State Population:
35.1 million

State General Fund Budget (1995-96):
\$44.2 billion

State Funds to Higher Education for Operating Expenses:*
\$6.5 billion

Higher Education's Share of State General Fund Budget:
13%

Total Number of Students in CA higher Education:
2 million

	# of Institutions	# of Students	# of Employees	Budget from State Gen. Fund
Univ. of California	9	163,704	131,660	\$1.9 billion
California State Univ.	22	324,950	35,926	\$1.6 billion
Community Colleges	106	1,344,000	72,000	\$2.7 billion*
Private Coll. & Univ.†	72	182,369	40,000	**

* Includes state and local taxes.

† Accredited only.

** Through student aid only.

options, not prescriptions, for California. While many of these options have been tested by quantitative analyses and by experience in California and elsewhere,¹ others have not.

None of the strategies is offered as a "silver bullet" that can resolve the thorny issues of quality and access; nor should every strategy be

enhance the quality of instruction, research, and public service.

Second, the state and its colleges and universities must accommodate all qualified undergraduates, regardless of their financial resources.

Third, while quality is improved and accessibility is maintained, the average cost of education per student must be reduced, and more extensive use must be made of public and private facilities.

The state successfully met similar challenges when faced with veterans returning from World War II, and with their children, the baby boomers. During the 1960s, California's four-year colleges and universities accommodated enrollment growth without a commensurate increase in financial support, and those days are often recalled as a "golden age" in higher education. But today's conditions are far less favorable than they were in earlier years, and

tomorrow's are uncertain at best. The demands of other public services are far greater than in the past. The state's population is larger and will become more heterogeneous. And its economic growth is more problematic.

Present conditions, however, are not entirely adverse. Over the past three decades California has attracted talented and creative faculty and administrators to its colleges and universities.

Their intellectual power and inventive capacity are the most important resources for reshaping higher education to meet future demands; faculty members are the ultimate guardians of academic quality. California's public and private colleges and universities—the result of investments made over more than one hundred years—constitute another asset. If appropriately utilized and maintained, they can meet many of state's future needs. The potentials of modern electronic technology, of new insights into the organization and delivery of learning opportunities, and of strengthened ties to public schools hold promise of greater accessibility, quality and productivity.

Can the state meet the enrollment and fiscal challenges of the next ten years? The Center believes that it can. This report clarifies what is at stake for California and proposes, within a framework of shared responsibility, specific strategies to revitalize California's commitment to college opportunity. It also seeks to shift the burden of proof to the doomsayers who predict the inevitable decline of educational opportunity and quality in higher education. California can meet the challenges it faces—if the leadership and collective will of the public, the colleges, and the state can be marshaled. As this report reveals, the capacity exists in California to provide the next generation of Californians with access to high quality education after high school. The core issues that remain, however, concern public priorities and values—and the willingness of Californians to accept and share *responsibilities* as well as *benefits*.

"Access to college is not an abstract, faraway, dreamy issue for most Americans. It is the crucial point around which they orient their lives as they raise their children."

—Nicholas Lehman
in *The Washington Monthly*

applied in the same way to every campus or system of higher education. At the same time, the strategies presented in this report are feasible, *interdependent* elements of policy options. It is in their *combination* that the proposed policy of shared responsibility achieves the three conditions that any such plan must meet:

First, the state and its colleges and universities must continue to maintain and

I. The Problem:

Growing Student Numbers, High Costs, Problematic Revenues, and Policy Drift

A very few years from now, a new surge of enrollments will reach California's colleges and universities, a surge that will not plateau until the second decade of the next century. These potential college students—some 488,000 more by 2005—are not a problem; they are an opportunity. What *is* a problem is that California may not be able to take advantage of the opportunity because the high costs of education will collide with increasing pressures on the revenues available to pay for them. This problem is compounded by policy drift—the failure to recognize that an essentially fiscal challenge has critical educational dimensions involving both access and quality. Addressing it is

vital to the state's future. Failure to resolve this policy issue will lead to either of two equally unsatisfactory consequences: If access is maintained, coming generations of students will be shoehorned into crowded classroom and laboratories to contain costs; as a result, the quality of their education will suffer. Alternatively, if quality—as defined by high cost—is maintained, eligible applicants will be denied admission, and as a result, access will suffer. Resolving the public policy issue requires recognizing that California's commitment to college opportunity emphasizes both access *and* quality.

The state cannot afford to ignore the public

policy issues raised by the coming enrollment demand. California's colleges and universities are not ivory towers isolated from the state's economic and civic life. It is not just that the University of California is a magnet for the nation's most talented individuals. The California State University prepares thousands of managers and high-level specialists who play a vital role in the state's economy, to say nothing of training over 12,000 public school teachers annually. California's Community Colleges are the broad foundation for the entire higher education system, and they are integral to the economy and culture of the regions they serve. California's

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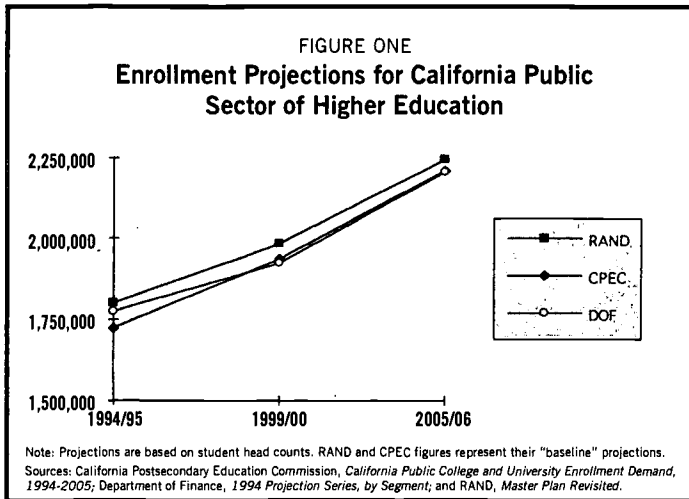


Figure One reveals the substantial agreement concerning future enrollment among the major projections—CPEC, the Department of Finance, and RAND—that assume continued access to colleges and universities for all qualified high school graduates.

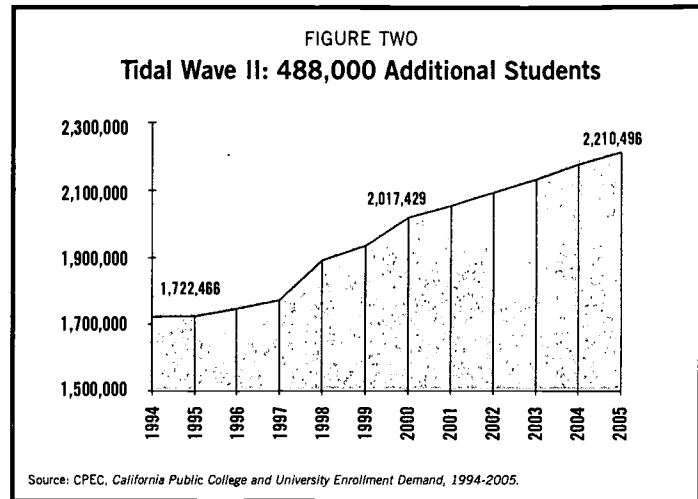


Figure Two shows estimated enrollment growth during the next decade.

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independent colleges and universities offer a broad range of undergraduate opportunities and award more than half of California's advanced degrees. The problems of the next decade will not just happen within the cozy confines of campus boundaries. Unless addressed now, they will inflict irreparable damage to all Californians and to the state itself.

Tidal Wave II: 488,000 More Potential Students in 2005

Predicting student enrollments is a hazardous task. Predictions require assumptions about the future, some of which are necessarily subjective and often unstated. Nevertheless, as Figure One shows, demographers in California are in substantial agreement about enrollment

increases over the next decade. Figure Two represents the projection that most nearly meets the Center's explicit assumption of continuing commitment to broad access in California.²

Three critical assumptions undergird these enrollment projections:

- These projections are of eligible applicants, and, for the University of California and California State University, of high school and community college graduates who have earned the privilege of further undergraduate education.
- In California, projections of *undergraduate* enrollments are based largely on demographic factors, public school enrollments, college acceptance rates and public policy—as opposed to fiscal and political considerations.

Although the commitment eroded during the recent recession, California's public policy—dating back to the 1960 Master Plan for Higher Education—still requires acceptance of all qualified applicants for undergraduate admission.

- These projections assume, as some do not, that historically under-represented ethnic groups will gradually increase their college attendance,

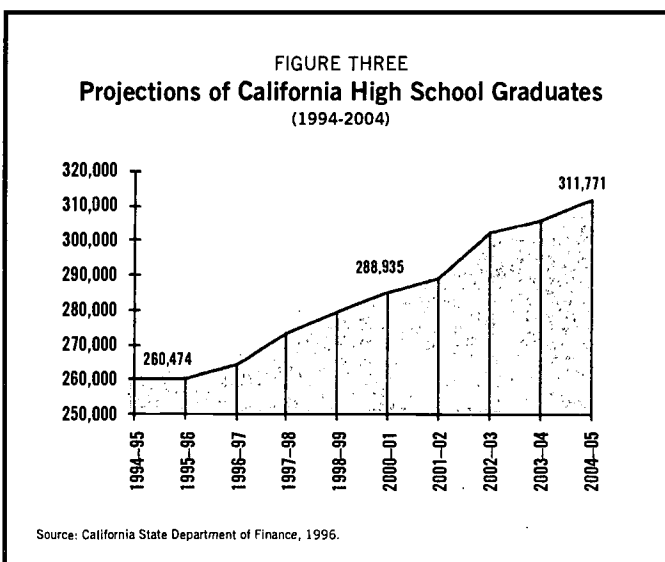
that current enrollment levels are artificially depressed by high tuition and restricted enrollments, and that future policies will make up for the impact of artificially depressed enrollment levels.

These projections are not abstractions; the Californians who will seek college admission are now actually in school, and Figure Three shows the sharp increases in high school graduates expected during the next decade. As the enrollment projections show, about 488,000 new students must be accommodated on campus under historical policies—or a new policy of denying them opportunity must be created and justified. No one has come forward with such a new policy, although policy drift and inattention could achieve similar and unhappy results.

The next few years—the calm at the eye of the storm—are critical. Although enrollment pressures will have their major impact in the first decade of the next century, these pressures will intensify in the late 1990s. From 1999 to 2000, for example, head-count enrollment in the community colleges is expected to increase by some 72,000 students. In short, the state does not have time to waste. The next five years must be used to plan and phase in essential changes in educational practices and priorities. The need for action is urgent.

The Additional Cost of Tidal Wave II

The expenditures required over the next ten years to accommodate the 488,000 new students would be about \$5.2 billion in new programs



and buildings under the "business-as-usual approach." This estimated cost is only for the *additional* state costs of educating the *additional* undergraduates. Although it does provide for repair, maintenance, and renovation of buildings, it does not include the operational costs of continuing current enrollment levels, which is currently at \$6.5 billion for 1995-96.³ The additional dollars, based on estimated current state costs of educating undergraduate students, will be required if existing educational practices continue and the proportion of these new students enrolled in all three public higher education segments roughly parallels existing student distributions.

Constrained and Finite State Resources

Belief that \$5.2 billion for programs and buildings will be available over the next ten years if current fiscal and educational practices continue requires optimistic—indeed, unrealistic—assumptions about state revenue growth or higher education's share of these revenues or both.⁴ At the national level, Robert H. Atwell, President of the American Council on Education warns that higher education should not expect to increase its current share of state or federal funding until sometime beyond the year 2010.⁵ California is not an exception to this view. RAND recently concluded that if current trends continue until 2005, over 300,000 potential students will be denied higher education because state support will decline.⁶

California is unique, however, in having more to lose than other states. Its commitment to broad college opportunity has benefited generations of Californians, and it has drawn thousands of talented individuals from other states and nations. California's higher education system has been the foundation of the state's economy—a national, as well as a state, asset. But the reality is that California is at risk because it will not be able to continue supporting its colleges and universities at historical levels.

California is recovering from the recession of the early 1990s, and support for higher education has increased over two good budget years. These years, however, are poor predictors of prospects for continuing support at business-as-usual levels. Rather, they are the deceptive calm at the eye of the hurricane. The students

who will comprise Tidal Wave II are even now working their way through the public schools. At the same time, the legitimate, budgetary needs of other social services—the public schools, corrections, and health and welfare—will continue to grow. According to one doomsday prediction, they will grow to the extent that, "There will be no money left for higher education—or any other governmental function."⁷ One need not accept this prediction, however, to realize that it is highly improbable that the state will be able to nearly double its expenditures for higher education—the cost of continuing to operate on traditional, business-as-usual premises over the next ten years.

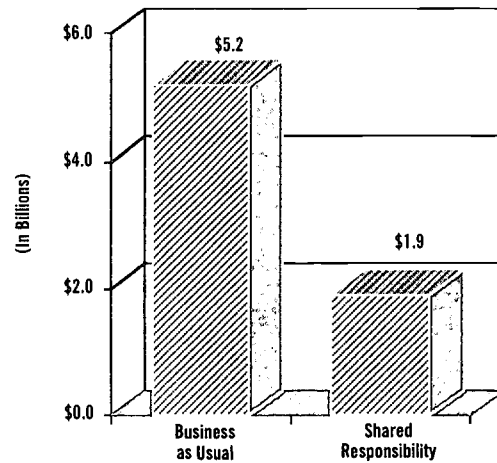
The Policy Vacuum in California Higher Education

The predictions of enrollment demand over ten years—of its costs and of the capacity of the state to pay these costs—are ventures into an uncertain future. But no matter how subject to their practitioners' varying assumptions and values, demography and economics are sciences. Public policy analysis, however, is not a science. Whether particular policies—or their lack—serve the public interest is always a matter of opinion.

The very success of higher education in California contributes to the crisis, for it has created expectations for a future as rosy as the past, a future that includes: easy governmental acceptance of academic and professional interests as surrogates of the public interest; courses scheduled for the convenience of faculty and students, rather than for cost-effective use of facilities and of faculty and student time; and generous state support with little in the way of substantive accountability for educational results asked in return from institutions, faculty, or students. None of these was "bad" in the context of California's past economic growth. But as expectations of a business-as-usual future, they create habits that are hard to alter and that inhibit

Comparison of State Costs For Accommodating Additional Enrollments

Estimates of Operating and Capital Costs
(1996-97 to 2005-06)



Source: William Pickens, "Financing Tidal Wave II," in *Supplement to Shared Responsibility* (San Jose: California Higher Education Policy Center, 1996).

necessary change.

In 1995, the Governor proposed, and the Legislature confirmed, a four-year plan to stabilize higher education budgets, and they are to be commended for it. But the plan is a short-term solution to repair the immediate damage caused by the recession. It does not address the long-term implications of business-as-usual costs, of dramatically increased enrollment demand, and of increasing constraints on state funds. The earlier response of state and higher education leaders to the recession was fragmented, and, insofar as the impending long-term crisis is concerned, this fragmentation continues. Long-range plans and policies are still lacking. There are no indications that decisions will be other than *ad hoc* and unrelated to statewide policy in the future.

A Summing up: Recommendations for Preserving College Opportunity

State policy leadership is needed to guide all three public segments of higher education in their preparations and planning for a future of more students and more constrained resources. Without such direction, the university, the state university, and the community colleges will

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pursue—probably should pursue—their separate interests. Such fragmented pursuit, however, has little likelihood of meeting public needs that do not match the interests of individual institutions.

What public policies should guide higher education? There are only three options:

- **Policy Vacuum.** The continuation of a policy vacuum will have long-term results comparable to, but with far greater destructive consequences than, those of the early 1990s, which include almost arbitrary denial of college opportunity, soaring student charges and institutional paralysis born of uncertainty. Lack of policy is “comprehensive” only in the breadth of its inadequacy.
- **Policy Retreat.** As yet, few, if any, Californians openly advocate a deliberate retreat from the historic policies of opportunity established in the 1960 Master Plan for Higher Education. Such a comprehensive policy would mean explicitly denying college opportunity to those otherwise eligible, and reversing over three decades of inclusive policies. It would also require an equitable, rational basis for restricting admissions that the public would find difficult to accept.

- **Policy Renewal.** This option would require state reaffirmation of its historic commitment to opportunity for all Californians.

The third option—which involves renewal of long-term, comprehensive policies that are supportive of historic public values—is the choice that the Center unhesitatingly recommends.

Recommendation I. The Governor and Legislature should assure to eligible and motivated students access to colleges and universities of high quality at a price they can afford.

However necessary the effort and laudable the goal, mere statement of public policy will be empty unless accompanied by concrete actions to implement it. Selecting appropriate actions will be not be easy. The actions must be economically feasible, they must be consistent with—and preferably enhance—educational quality, and they must be supported by the public. As an appropriate action that meets these conditions, the Center recommends a new social compact based on the concept of reciprocity, a compact for shared responsibility.

Recommendation II. The people of California, through their state officials, should form a new social compact with colleges, universities, and students, under

which the benefits and burdens of maintaining college opportunity would be fairly shared among all parties.

Because everyone in California shares the benefits of maintaining educational quality and access to it, everyone should share the responsibility for them—and be accountable for fulfilling that share. Shared responsibility is essential. The state must continue to invest in higher education, but it *alone* cannot foot the bill to meet this responsibility. Short of dramatic tax increases or a savage reduction in expenditures for other social services (each most unlikely in the Center’s view), higher education will have to make do with a lower rate of increased support for each additional student than in the past. Nor is it reasonable to expect students and families *alone* to bear the burden. Beyond a threshold that may already have been reached, steeply raising tuition is not only politically problematic but counterproductive in its impact on access. Nor can colleges and universities *alone* resolve the problem. Institutions can only go so far in cutting costs before institutional quality begins to feel the razor’s edge. An explicit commitment to *shared responsibility*, however, can maintain quality and preserve the benefits of higher education for all Californians.

II. Shared Responsibility: A Policy Framework for the Future

If you do not know or do not care where you are going, any road will get you there. Californians do know and care; they want quality and opportunity maintained.⁸ Nonetheless, old road maps no longer serve. A new map is needed, one that can be relied on by the Governor and the legislators, by college and university leaders, by students and their parents, and by all Californians.

The road map to higher education’s future—not the destination—is out of date. The recommended new social compact, in exploring a new route, is designed to breathe new life into California’s traditional values of access and quality. It is intended to ensure that the historic commitment to college opportunity continues to guide California well into the next century.

Fair Shares: Opening the Discussion

Shared responsibility is a long-term,

comprehensive, state policy for maintaining higher education’s critical role in the civic and economic life of California. It is a plan for assuring that the next generation of students will have access to high quality colleges and universities at a cost they can afford. Its goals do not differ from those of the 1960 Master Plan. Shared responsibility, however, will impose burdens on all who benefit from that system—and all Californians benefit.

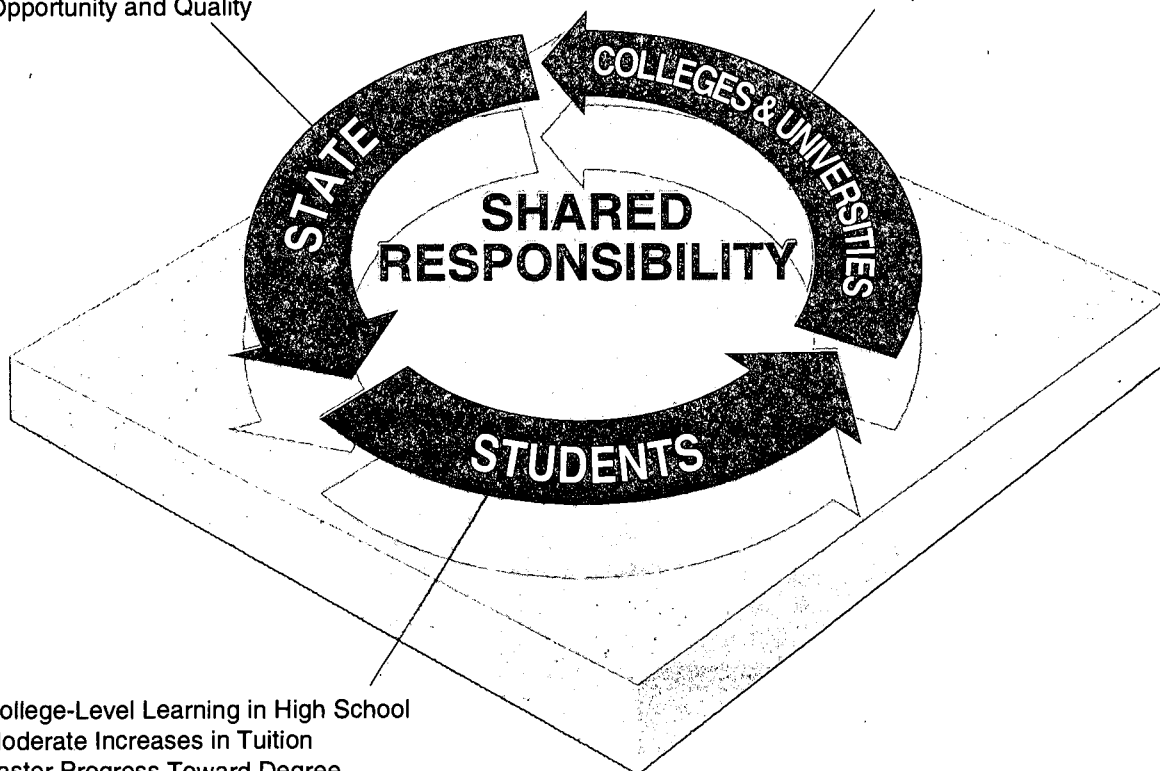
The burden of responsibility for higher education’s future has always been shared to some extent; indeed, the Master Plan assigned different functions to the university, the state university, the community colleges, and the independent colleges and universities. This remains a prime example of shared responsibility. Consensus is unlikely, however, on how much responsibility each party should bear in the future. But the discussion must begin

somewhere, or it will never take place. The Center suggests a sharing of responsibility that is fair, one that, to the extent possible, relies on incentives, not mandates. It is one that holds all parties—the state, the colleges and universities, and the students—accountable. And it has reciprocal benefits for the burdens imposed.

The State’s Share. The state should protect its present capital investment in existing facilities and campuses and stabilize the level of operational funding for higher education. The state—the general public acting through its state leaders—should maintain the continuing capacity to assure college opportunity, including additional student financial aid. Additional funding for colleges and universities should be contingent upon enrolling eligible students, and the state should hold institutions accountable, annually assuring that its priorities are implemented. As part of the compact, colleges

- Maintain Current Funding for Higher Education
- Share Funding of Additional Students
- Fund Student Financial Aid
- Use Spaces in Private Institutions
- Create Technology Innovation Program
- Hold Institutions Accountable for Opportunity and Quality

- Enroll All Qualified Students
- Year-Round, Extended Week and Weekend Operation
- Use Technology Effectively
- Assess Student Learning for Admissions /Awarding Degrees
- Better Prepare Teachers



- College-Level Learning in High School
- Moderate Increases in Tuition
- Faster Progress Toward Degree
- Courses Taken During Summers, Weekends, etc.

and universities would be freed of much of unnecessarily burdensome regulatory and financial controls in return for greater accountability for increasing access and educational quality. All Californians would benefit from assurances of continued quality and educational opportunity.

The College and University Share. The range of options for institutions of higher education to meet their share of responsibility is extensive. Although the Center recommends specific actions in the following section, not all are applicable to all institutions. Moreover, the colleges and universities should manage their own implementation of shared responsibility. Whatever their actions, the institutional response should be expected to reflect the needs and circumstances of the state over the next decade, the imperatives of cost-effectiveness and greater productivity, and the adoption of innovative

practices to protect access and quality.⁹ They must find space for every qualified applicant, and be accountable to the state for doing so. With assurance of a stable budget, redistribution of resources to programs of the highest quality should be less threatening. California's colleges and universities should maintain competitive faculty salaries. Over time, the institutions will benefit from budgetary stability, greater flexibility and lower operating costs.

The Student Share. Expectations of students should increase, as should the opportunity and support for them to meet higher expectations. Student charges will increase with personal income, and with an additional, but annually limited, charge to contribute to the cost of increased enrollments. Students must expect to work harder to qualify for college, and then to move through the undergraduate curriculum more purposefully than in the past. Many

students will face less convenient course scheduling. Students, however, would be the most direct beneficiaries of shared responsibility—of continued access to high quality, affordable higher education.

In the past, responsibility for higher education was shared, but the sharing was largely implicit. Under the formal, statutory structure of the 1960 Master Plan, the public colleges and universities were only loosely coordinated, and, until the 1990s, enrollment growth was regularly funded by the state under negotiated and relatively stable formulas.¹⁰ With few exceptions, state and higher education leaders have focused primarily on revenues.¹¹ What would change under the new social compact would be the explicit consideration of the responsibilities the parties bear. The state, the colleges and

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universities, and the students and their families must each do more than they have in the past. The time has come to shift from emphasis on more revenues to what these revenues buy—to how money is spent—and to ask how opportunity and quality can be preserved with fewer resources behind each student.

Doing more in the future will be difficult for everyone. Students will probably respond to change, for they are not encumbered with higher education's business-as-usual habits and expectations. But institutional administrators and faculty do carry this burden, and implementing

the policies proposed here will require something in the nature of a cultural change to separate what is central to educational quality from what is mainly convenient. Redistribution of programs and people will be difficult. California's elected leaders also face a challenge, for they alone can offer the policy direction and set the terms of shared responsibility for at least the next decade. The Governor and the Legislature must take the initiative. Without effective state leadership and policy guidance, California's public colleges and universities have little chance of keeping their envied place among the finest institutions in the nation, nor

does California have much chance of retaining its place as America's premiere state.

Shared responsibility is a feasible, comprehensive plan, and the strategies suggested in the next section are policies and actions that, in the aggregate, would implement it. Without an explicit policy framework, one supported and ordered by realistic measures for implementation, California and its colleges and universities will wander in a wilderness of fragmented, *ad hoc*, short-term reactions. With such a framework, however, California can keep its promise of educational opportunity and high quality for the next generation.

III. Strategies for Shared Responsibility

The new social compact—shared responsibility—provides a means to reach the goal of college opportunity for all qualified and motivated students. It is a comprehensive policy for the future that recognizes the complexity of California and its higher education system. The strategies—taken collectively—show that shared responsibility can be a feasible resolution of extremely serious, long-term problems. Others may accept “shared responsibility” as a feasible approach, but may rely on other specific strategies. If so, such strategies—like those in this report—must:

- Accommodate all eligible undergraduates, regardless of their financial resources.
- Maintain and enhance the quality of instruction, research, and public service.
- Reduce, in the aggregate, the average cost of education per student.

The era of continuing pressure on state financial resources will require something more of all who benefit from higher education; the “something more” is described under each strategy. Also, the *Supplement to Shared Responsibility*, which is available from the Center, provides data, examples from across the United States and summaries of publications that will provide a context for the strategies described below.

STRATEGY ONE: CREATE A PUBLIC COMPACT OF SHARED RESPONSIBILITY TO MAINTAIN OPPORTUNITY AND QUALITY IN HIGHER EDUCATION.

- The Governor and Legislature

should preserve the state's investment in higher education and target additional support to campuses that accept additional undergraduate students.

- The state should hold colleges and universities accountable for the enrollment of eligible undergraduate students, and for cost-effective operations, including the establishment of priorities and the reallocation of resources.
- The state should expect students to be better prepared for college, and to share in the cost of increased undergraduate enrollment.

Stabilization of Future State Support. Most of the state financial resources available to public

higher education, particularly for undergraduate education, are those that it already has in the over six billion dollar operating budget that represents the state's current, annual investment (in the 1995-96 fiscal year, \$6.5 billion in state general funds and property taxes). California must maintain the purchasing power of this level of basic support as a precondition for accommodating current and projected enrollments. If, for instance, the state should disinvest in higher education, as it did in the early 1990s, it is unlikely that any plan for accommodating the enrollment increases projected for the next decade could succeed. If the RAND prediction is correct—if entitlements, federal and constitutional mandates and the cost of corrections force the state to reduce support of higher education below current levels—the shared responsibility approach will fail. There

are, in the Center's estimation, no circumstances under which California can reduce its investment in higher education and expect enrollment increases that will preserve educational opportunity.

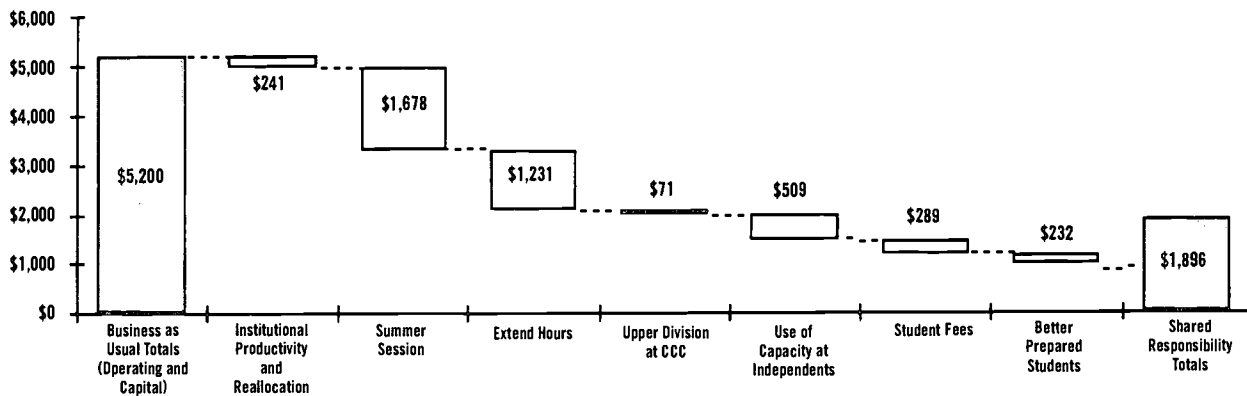
Support for Undergraduates. Beyond the current level of support for current enrollment levels, the state should also provide additional funds for each additional undergraduate student. However, this support should be based on the actual cost of educating each additional undergraduate student, which is significantly less expensive than including graduate students in the calculation. Further, the state share should be reduced due to the expectation of increased productivity at colleges and

“Learning productivity addresses access in what I call the California mode, where only with some productivity somewhere, somehow, will this state and Florida, Texas, and other fast-growing states . . . maintain the historic access that they have had.”

◦ —D. Bruce Johnstone, Former Chancellor, State Univ. of New York

From Business as Usual to Shared Responsibility: Options for Funding Tidal Wave II

Steps to Reducing and Sharing the Costs of Programs and Buildings
(Dollars in Millions)



Source: William Pickens, "Financing Tidal Wave II," in *Supplement to Shared Responsibility* (San Jose: California Higher Education Policy Center, 1996).

Through a variety of interdependent strategies, California can provide educational opportunity for Tidal Wave II enrollments at a much lower cost than the business as usual estimates suggest. This figure shows that California can more than solve the problem using a combination of strategies that reduce both capital and operating costs to the state. All estimates of savings have factored in additional maintenance and operations costs associated with the strategies.

universities and due to an increase in the student contribution (through fees and better preparation, for instance). As a consequence, the rate of *growth* of state funding for *additional* students will be less than in the past.

Institutional Reallocation and Productivity. Under the concept of "shared responsibility," the public colleges and universities should be expected to focus their resources on the highest public priorities, to become more educationally and cost effective, to reallocate their base budgets as necessary, and to achieve academic and administrative efficiencies.

Student Preparation and Fees. Assurance of college admission for the next generation of students will require the state both to stabilize funding for the institutions and to support additional undergraduate enrollments. In return for such assurance, students should expect to bear a share of the cost of their education (see Strategy Four below) and to be better prepared for college (see Strategy Six below).

STRATEGY TWO: EXPAND THE USE OF EXISTING CAMPUSES AND FACILITIES; DO NOT BUILD NEW CAMPUSES.

- New public campuses should not be built for at least ten years.

- Maintenance and renovation of public campus facilities should be the highest priority for state capital outlay support.
- The state should require greater use of classrooms each week, and instruction should be scheduled on a year-round basis.
- The state should encourage upper division courses leading to a baccalaureate degree to be offered at selected community colleges through cooperation with public and private four-year campuses.
- The state should invest substantially in strengthening the transfer capacity of community colleges.

"As a broad generalization... we ought to be able to find within higher education at least a third of the necessary additional resources by better utilization over the next several years."

—Clark Kerr, Former President, University of California

Do Not Build New Campuses; Give Priority to Maintenance and Renovation. The California Postsecondary Education Commission estimates that the capital costs of accommodating enrollment demand over the next ten years will be \$4 billion, or \$400 million per year, exclusive of any other capital needs.¹² Based on the past practice of building new facilities for new students, this estimate is totally unrealistic for a future of scarce fiscal resources. In addition, existing campuses and buildings should be maintained and renovated.

Under these circumstances, it makes little sense to embark on an era of new campus building. Plans for new campuses should be deferred for at least a decade. If the maintenance and renovation needs of existing campuses are met, if those facilities are more efficiently utilized, and if more effective use is made of the state's independent colleges and universities, the projected enrollment increases can be accommodated by existing campuses.

Classroom Use and Year-Round Operations. Making better use of student time and facilities will require greater classroom and laboratory use on public campuses during early mornings, evenings, weekends, as well as year-round study.

(continued)

"I have serious questions about the feasibility and appropriateness of building new campuses in the state at this time. I don't think we have exhausted the possibilities of using existing resources as well as we should."

—John Brooks Slaughter, President,
Occidental College

(from preceding page)

The public institutions and the California Postsecondary Education Commission currently estimate that most classrooms are occupied 35 to 45 hours per week.¹³ The capacity to accommodate Tidal Wave II enrollments can be significantly increased through more effective use of facilities. By offering courses in evenings and on weekends for at least 50 hours per week, the capacity for instruction would be substantially increased. Accommodating students in this manner is not without costs, but these costs are much less than the cost of building entirely new facilities.

Moving to year-round operations would further maximize the use of existing facilities. Currently, most summer sessions offer a minimum array of courses. In addition, most four-year public campuses do not receive a state subsidy, and therefore are at full cost to the student. Many institutions should offer a full undergraduate program during the summer, including high demand courses and requirements. The state should support student enrollment during the summer term, a cost that is included in shared responsibility projections.

In order to achieve the efficient use of facilities that will make it possible to accommodate all qualified students, classes would be offered at less convenient times than in the past. Public colleges and universities should consider experimenting with financial incentives (e.g., tuition discounts) to encourage students to enroll in courses offered at the most inconvenient times. In addition, some institutions may wish to require students to attend at least one summer session to complete their programs.

Upper Division Courses at Community

Colleges. Upper division courses leading to the baccalaureate could be offered on many community college campuses at great convenience to students and at savings of capital outlay dollars for new facilities at four-year institutions. State policy should encourage community colleges and four-year colleges, particularly the California State University, to collaborate in offering upper division courses through the bachelor's degree on selected community college campuses through electronic technology, shared faculty, or more

conventional means when such offerings would be cost effective and would improve access.

Strengthening the Transfer Capacity of Community Colleges. As in the past, most Californians seeking higher education will attend the community colleges to acquire vocational skills or to prepare for transfer to a baccalaureate institution. Projections indicate that some 385,000 additional students will seek entry to the community colleges over the next ten years. This will place an enormous fiscal burden on that segment, particularly the need to expand transfer programs while maintaining and expanding programs that develop vocational skills.

To assist the community colleges in meeting the needs of transfer students without diminishing the role of vocational training, the state should provide \$10 million annually as a supplementary appropriation, or \$100 million over the next decade. This appropriation should not be allocated uniformly among the colleges or on any *pro rata* basis. Rather, the distribution of funds should recognize the burden imposed by differential growth rates among the colleges, and should also reward colleges for increasing their number of transfer students.

STRATEGY THREE: UTILIZE THE CAPACITY OF CALIFORNIA'S INDEPENDENT COLLEGES AND UNIVERSITIES THROUGH STUDENT FINANCIAL AID PROGRAMS

The state should make use of the capacity of the independent colleges

and universities by supporting the Cal Grant, the major state student financial aid program, at levels that will encourage approximately 20,000 additional students to attend private institutions. This will reduce pressure for construction of new public facilities. In addition, California should establish, as a pilot program, a new student aid grant that would be \$1,000 greater than the maximum Cal Grant award. This new student grant should be based on academic performance and financial need, and would be an incentive for about 2,000 additional students to transfer to a private college or university after completing freshman and sophomore years at a public community college.

STRATEGY FOUR: INCREASE STUDENT FEES MODESTLY TO CONTRIBUTE TO THE SUPPORT OF ADDITIONAL UNDERGRADUATE STUDENTS.

- Undergraduate student fee increases should be based on two factors (1) affordability, as measured by the rate of growth of personal income in California, and (2) the student share of the cost of additional undergraduate enrollments.
- The state should provide student financial aid equal to one-third of student fee increases; student fees should not be used

"Over the past 10 to 15 years, California's three public higher education systems have been in a state of constant maintenance deferral. . . . Based on our campus visits, we believe that the total deferred maintenance backlog is in the range of several hundreds of millions of dollars. . . . A long-run strategy to address maintenance failures at the state's higher education segments is essential to protect the state's investment in higher education buildings and infrastructure."

—1996/97 Legislative Analyst's Report

to fund additional student financial aid.

Student Fee Increases. Student fees should be adjusted annually. Increases in student fees should not exceed 6 percent of the prior year's student fees for the university, 5 percent at the state university and 4 percent at the community colleges. The differential limits reflect current income profiles of students in the three systems. This policy is designed to assure a student contribution to the preservation of opportunity, and to prevent dramatic fee increases in difficult budget years—for example, increases of more than 100 percent at the university and state university in the early 1990s. It is also intended to break the pattern in which some fees remain flat for four or five years only to increase dramatically over the next few years. Over the past twenty years, this pattern has meant that some student cohorts have the real cost of their education reduced each year they are in college, while the next cohorts face steep increases every year. The unpredictability of fee increases, as well as their size, were largely responsible for the enrollment declines in the early 1990s. Finally, the use of personal income growth as one basis of adjustments is intended to link increases to a

measure of affordability, rather than to the state's fiscal circumstances or to the gap between institutional budget requests and state appropriations.

Student Financial Aid. The state should be responsible for meeting additional need for student financial assistance. In the recent past, most of this responsibility has fallen on students—many of whom were borrowing to pay their fees—who have, in effect, paid a surcharge on their student fees to support financial aid for other students. One consequence of this approach was that student aid given by the campuses from these surcharges increased 70 percent, nearly twice the growth of aid funded by the state.¹⁴

STRATEGY FIVE: ELIMINATE MEDIOCRE QUALITY AND LOW PRIORITY PROGRAMS, AND REALLOCATE RESOURCES TO THOSE OF HIGHEST QUALITY AND PRIORITY.

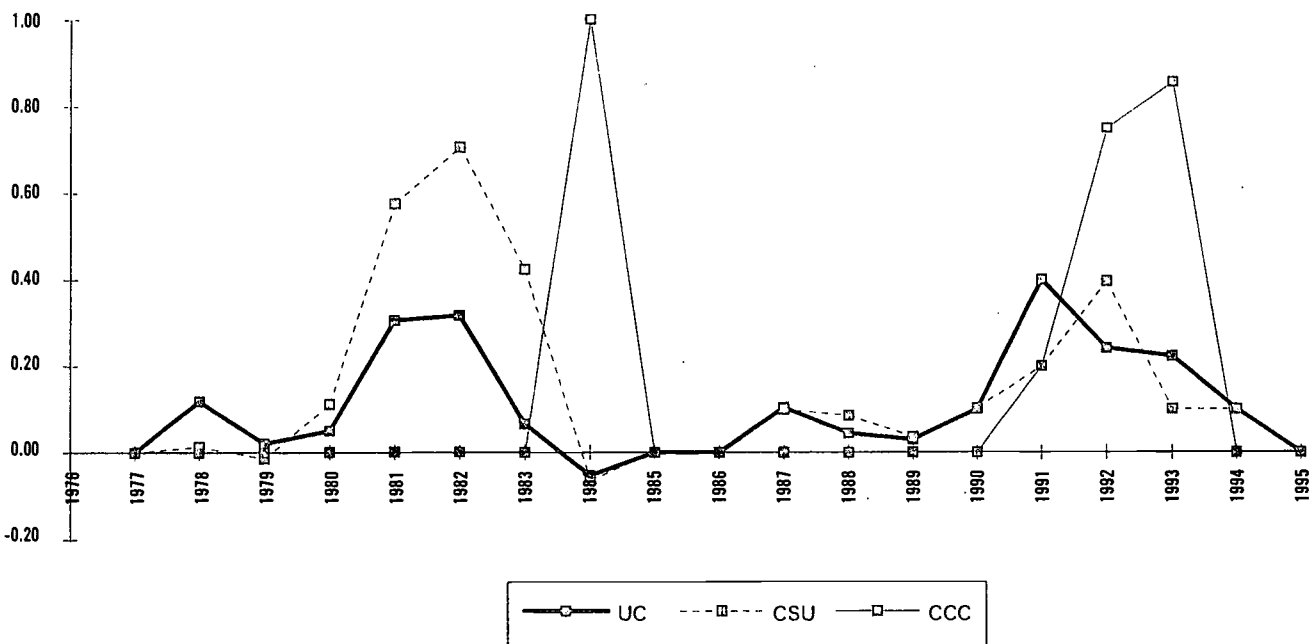
- The University of California should offer a limited number of the highest quality graduate programs in every significant area of knowledge, but should not maintain a comprehensive array of graduate programs at each campus.

Program Review, Reallocation and Retention of Savings. For the state and all public campuses, constrained financial circumstances require new capacities for assessing the quality and priority of programs and activities, for eliminating redundant programs that cannot be justified, and for reallocating financial resources to the highest priority areas. Throughout most of the past three decades, neither the statewide systems nor the individual campuses have developed these capacities because the emphasis was primarily on acquiring new resources. Higher education will not be able to meet future needs for accessibility or quality if it views its current array of programs and activities as "locked in." Instead, the resources to support the priorities of the present and future must be derived by reallocation. Savings achieved by the elimination or consolidation of programs of lower quality or priority in all public higher education systems should be retained and reallocated by them.

University of California Graduate Programs. The University of California should adopt a strategy of "selective excellence" in graduate education. It should seek to maintain a

(continued)

Percentage Increases in Student Fees, 1977-1995



Source: William Pickens, *Financing the California Master Plan*, Rept. 95.5 (San Jose: The California Higher Education Policy Center, 1995).

This figure shows the increases in student fees at each institution on a year-to-year basis. Fees that stay the same from one year to the next have a 0.0% value. This figure shows the large unpredictability of student fee increases as compared to the steady levels recommended under *Shared Responsibility*.

“What this university is going to have to face are difficult decisions about the role and mission of each campus and, campus by campus, which programs to strengthen, which to maintain, which to cut back and which to phase out. . . . If we can no longer cover all areas of knowledge, then each of our campuses will have to determine those areas in which it has comparative advantages in developing and maintaining true distinction.”

—Harold Williams, former Regent of the University of California

(from preceding page)
limited number of the highest quality programs in every significant area of knowledge, including emerging areas. The university should not, however, maintain a comprehensive array of graduate programs at each campus. Every world-class program needs protection, not just from external critics, but from dilution by duplicative programs of lesser quality.¹⁵

STRATEGY SIX: ACCELERATE STUDENT LEARNING BEFORE AND DURING COLLEGE.

- High school students should have the opportunity and be encouraged to acquire college credit by examination, and to take college level courses at high schools and community colleges.

- Colleges and universities

should make required courses available to enable students to complete a baccalaureate degree in four years.

- Students who, without academic justification, take substantially more courses than required for graduation should pay an additional fee.

Student Preparation Before and In College. If provided the opportunities, many students can begin taking college courses while in high school. In recent years the numbers of high school students successfully taking Advanced Placement examinations has significantly increased. When students take advantage of these opportunities, they accelerate their education, make better use of time, and reduce the cost of college. California high school students who intend to enter a four-year college or university should be encouraged to enroll concurrently in community college and high school, and to prepare for and take Advanced Placement courses. Colleges and universities could certify selected high school instructors to offer college-level courses for credit. And the potential of technology for delivering college

courses to high school students who are ready for them should be aggressively explored. If these opportunities are widely available and students are encouraged to take advantage of them, we believe that by the year 2,000, 35 percent of first year freshmen in the state university and 45 percent of first-year freshmen at the university will have completed—in high school, in community college, by distance learning, or otherwise—one-half year of college work acceptable as credit for a bachelor's degree. By the year 2006, 60 percent of freshmen at CSU and 70 percent of freshmen at UC will have completed such work.

Availability of Required Courses. Public colleges and universities should guarantee full-time students that required courses will be available to permit students to graduate in four years. It may not be possible to offer classes at the most convenient times because of the need to make full use of facilities. Even if classes are available, public colleges and universities should

Doctoral Program Offerings at UC

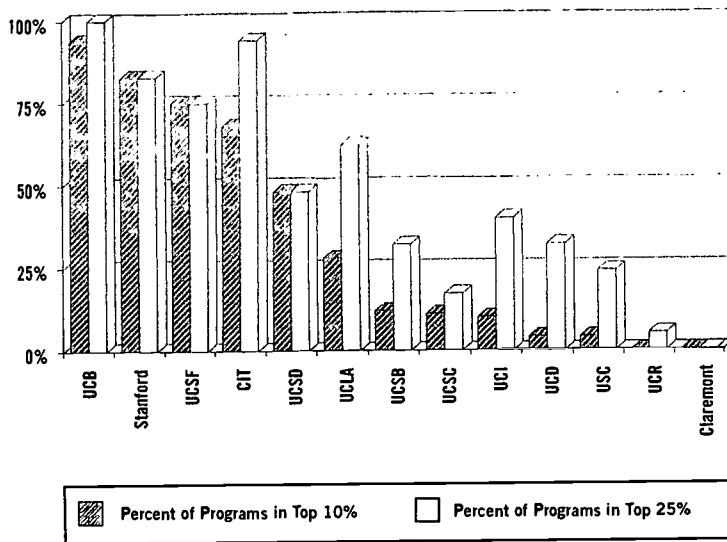
Graduate Program	# of UC Campuses
Chemistry	9
Psychology	9
Computer & Information Services	8
Economics	8
History	8
Mathematics	8
Miscellaneous Biology	8
Music	8
Physics	8
Anthropology	7
Comparative Literature	7
Fine Arts	7
Germanic Languages	7
Multidisciplinary, Other	7
Philosophy	7
Political Science	7
Romance Languages	7
Sociology	7
Zoology	7
Biochemistry	6
Biology	6
Education, General	6
Foreign Languages & Lit.	6
Geography	6
Mechanical Engineering	6
Business Administration	5
Cell & Molecular Biology	5
Chemical Engineering	5
Electrical Engineering	5
English	5
Geology	5
Materials Engineering	5
Math Statistics	5
Other Social Sciences	5

Note: This table shows those programs that appear in more than half of UC's nine institutions.
Source: CPEC Integrated Postsecondary Education Data System (IPEDS) file, 1994.

Graduate Program Review in Ohio

In the midst of the third major fiscal crisis (1991) facing Ohio in 20 years, a task force was created to look at structural solutions for meeting the needs of students seeking higher education. The primary responsibility of the task force was to review existing doctoral programs to determine which were “unnecessarily duplicative.” The review focused on doctoral programs because of their higher cost compared to other programs, because of their rapidly increasing costs, and because the Regents wanted to emphasize affordable, high-quality undergraduate education. The review included program self-studies and used external experts who served as evaluators, by discipline, in reviewing each programs' quality and viability. Additionally, another task force was established to determine the program need for the state of Ohio. During the review, incentives were offered for universities to withdraw or consolidate programs. Grant funds were available to reinvest in other doctoral programs, shift resources to undergraduate education, or offset the costs of collaboration. While it is too early to determine the overall savings to the state since the review is not complete, officials in Ohio report progress in strengthening doctoral programs and targeting resources to high priority areas.

California Doctoral Degree Granting Institutions Rated Nationally by NRC



Note: CIT stands for California Institute of Technology; USC stands for the University of Southern California; and Claremont stands for Claremont Graduate School. The remaining institutions are campuses of the University of California.
Source: National Research Council, *Research-Doctorate Programs in the United States: Continuity and Change*, 1995.

Early College Preparation at Syracuse University

Over 5,000 students from high schools in the northeast currently participate in "Project Advance," the largest program in the country where high school faculty deliver college courses in high schools. About 85,000 high school students have earned college credit through this program since 1973. Exemplary high school faculty are selected, through a competitive process, to teach college courses in a wide range of general education and applied college courses, including biology, calculus, chemistry, economics, computer engineering, etc. Training for the high school teachers is provided by Syracuse University faculty prior to their teaching assignment, as well as during the courses. Ongoing evaluation ensures that course content and outlines of Project Advance courses are comparable to Syracuse University courses. Evaluations of the project shows that students who participate in Project Advance reduce their time to degree in college and test out of more courses than students who have not participated in the project. Twenty-five percent of all students participating in Project Advance enter college with enough credit to graduate a semester early.

provide more opportunities than at present for students to acquire credits for graduation by examination. If necessary courses are not available and students must spend additional time or take additional classes, the cost of additional classes should be assumed by the institution without charge to the student or the state.

Charge for accumulation of excess credits. A student fee surcharge should be paid by students who take units in excess of 10 percent of those required for graduation without reasonable academic justification.

STRATEGY SEVEN: ESTABLISH AN INCENTIVE FUND TO ENCOURAGE COST-EFFECTIVE USE OF ELECTRONIC TECHNOLOGY FOR INSTRUCTION

California, the home of the Silicon Valley and the entertainment industry, should be the leader in the application of electronic technology to higher education to improve quality, enhance access and reduce costs. Technology is no panacea, however, and even if it reduces costs, it often requires substantial investments in equipment, software and training. Yet it has enormous potential for: individualizing the style and pace learning; making it a more available, convenient, and

active process; challenging students with more complex and sophisticated problem-solving; stimulating collaborative teaching and learning; and, ultimately, reducing per student costs. Technology can be a major piece of the puzzle of how learning can be improved and become more cost effective over the long-run.

In order to reap the benefits of the appropriate application of technology, California and its colleges and universities must make investments in pilot projects to systematically experiment and evaluate the results and make what is learned broadly available. The State of California should establish a ten-year incentive program of \$30 million annually to encourage and support innovative use of technology in instruction to enhance access, improve quality and reduce average costs. Grants should be made on a competitive and matching basis to individuals, academic units or institutions. The program should encourage cooperation across campuses and segments and between colleges and public schools and with the private business sector for delivery of collegiate instruction. Projects should be rigorously evaluated and the results disseminated throughout California higher education.

STRATEGY EIGHT: BASE COLLEGE ADMISSIONS ON ASSESSMENT OF ACHIEVEMENT.

Admission requirements are one of the most important signals that four-year colleges and universities send to the public schools and their students and families. The enormous influence of higher education on the public school curriculum and on high school courses taken by students is clear from the experience of the last decade. In the 1980s the state university adopted the university's college preparatory course requirements and both the university and the state university gave extra weight in admissions consideration for Advanced Placement (AP) courses. The number of students completing the college preparatory curricula rose from 26 percent in 1986 to 32 percent in 1994. Meanwhile, the number of seniors participating in AP exams has nearly doubled.

Despite these encouraging responses, however, many California students could and

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The Use of Technology at Rensselaer Polytechnic Institute

By using the latest computing tools, combined with cooperative activities, students at Rensselaer Polytechnic Institute (RPI) have been able to participate in "studio" classrooms in introductory Calculus, Chemistry and Physics. The studio model utilizes individual computer work stations to complete in-class assignments and labs. Students also receive brief lectures on key concepts that they apply in their work at the computer. Student satisfaction with the studio model is higher than with the traditional classroom lecture/laboratory combination. Also, students spend about 33 percent less time in the "studio" model compared to the traditional model of instruction. Program evaluations show that student teaming in the studio model is similar to that of the traditional classroom.

about 400,000 California high school students, and could be expanded and used to assess students for high school graduation and college admission. Two task forces under the auspices of the California Education Roundtable are charged with developing new standards for English and mathematics proficiency.

Standards and assessments, however carefully developed, are not likely to influence high school curricula or student performance unless they are a major part of university and state university admissions processes. While there is little doubt that both segments of higher education would like

better prepared students, it is less clear that they are prepared to make changes in their admissions practices needed to stimulate these improvements.

STRATEGY NINE: ASSESS STUDENT LEARNING

Colleges and Universities must begin a transition toward making student learning, not the time spent on courses taken, the principle basis on which degrees and certificates are awarded. Transition will require explicit

Competency-Based Admissions in Oregon

Under a new program called the Proficiency-Based Admission Standards System (PASS), Oregon's public colleges and universities are moving from the use of course-based requirements (such as the Carnegie units) for college admission to a new approach that specifies the knowledge and skills which students must master to be admitted into any of the state's seven colleges or universities. Proficiencies have been approved in math, science, social sciences, foreign languages, humanities and the fine arts. The state also requires that students demonstrate competency in writing, reading, communication, critical thinking and problem solving. Students will be tested to determine proficiency in content areas and teacher verification will attest to competencies in other skill areas. Demonstration of high levels of competency in Advanced Placement courses while in high school can also be used to satisfy some content area admissions requirements.

standards for graduates and methods of assessing the knowledge and skills that students should have when they complete programs. What is needed is not standardized approaches, but measures developed by each campus and program based on its mission and curriculum.

Assessment of educational outcomes at the conclusion of degree and certificate programs would serve at least four purposes: First, assessment would inform faculty, departments,

and campuses of factors that can improve program quality. Second, it would assure students, employers and the public of the knowledge and skills of graduates. Third, it would provide a comparison of differing approaches to the curriculum and to teaching methods, and would thereby encourage innovation and rigorous evaluation of new and old educational practices. Finally, and of major importance for shared responsibility, assessment would assure the public that educational quality was not diminished because of resource reallocation within the colleges and universities. For higher education, assessment of educational results is a critical step in shifting from the traditional emphasis on *inputs*—dollars, credit hours and library collections—to

(from preceding page)

should be better prepared to benefit from college. The next step must go beyond identifying and prescribing course requirements to assessing the specific knowledge and skills needed to perform at the college level, and making these a major component of college admissions. As the California Business Roundtable has recommended, "the admission requirements for UC and CSU must be revamped to be based on performance assessments rather than on attendance and grades in prescribed classes."¹⁶

Explicit standards and assessments will send a much clearer signal from the university and state university to the high schools than do the current criteria that rely primarily on course taking patterns, grades, and general tests of academic preparedness, such as the Scholastic Assessment Test I (SAT). Moreover, some of the foundations for standards and assessments are already in place or being put in place. In the 1980s, faculty members from across California higher education collaborated to identify the knowledge and skills needed for college work in several disciplines. Also, the "Golden State" examinations, which test knowledge in seven academic areas, are currently taken on a voluntary basis by

"Clear standards generally do not exist to tell students what they are expected to learn in order to launch a career or follow a lifelong progression to higher skills. Without these standards, educators, trainers, and program directors do not have adequate guidance to develop curriculum. Consequently, they cannot be held accountable for what is really important—how well students learn."

—The California Business Roundtable,
Mobilizing for Competitiveness

"We risk a division of our people along racial and class lines if jobs are sharply split between high skill, high wage and low skill, low wage employment. Both California's economy and its continued social health require that its citizens have full access to quality education to support industry's shift to high skill jobs."

—Commission on Innovation of the California Community Colleges

an emphasis on *outputs*—student skills and learning.

STRATEGY TEN: ASSESS THE KNOWLEDGE AND TEACHING SKILLS OF NEW TEACHERS.

The preparation of public school teachers is one of the fundamental ways that colleges and universities directly influence the quality of public school education and, indirectly, the quality of student preparation for college. The university, state university, and the independent colleges and universities operate teacher training programs, but most California teachers are trained in the state university system.

Improvement of teacher education is an indispensable condition for the improvement of public schools. Yet the reform of teacher education has lagged. Despite major school restructuring efforts over the past decade and a half, neither colleges nor the state have made redesigning teacher education to support school reform a particularly high priority.¹⁷ Vague commitments by colleges to work with schools have been numerous. Real change and progress in teacher education—one of the few areas in which colleges have direct responsibility and influence over the quality of schooling—have been rare.

One hopeful sign is the establishment by the state university of the Institute for Educational Reform. The Institute's February 1996 report, *The Teachers Who Teach Our Teachers*, recommended many changes, particularly: in the relationship of teacher training programs to the public schools; in state university policies that do not encourage and, in some ways actually

discourage, coordination between schools of education and schools of arts and sciences; in recognition of faculty involvement in public school improvement; and in state policies that determine requirements for teacher credentials.¹⁸ The report challenges the state university with a powerful reform agenda.

The awarding of teaching credentials is a state responsibility, just as the state is responsible for issuing licenses and credentials to professionals in law, accounting, or medicine. Unlike the other professions, prospective teachers are not tested for their knowledge and

competencies against specific standards. Prospective teachers must only complete an approved program to be eligible for a credential.

Standards and assessments are no less important for those who would be teachers than they are for students. Assessment of prospective teachers, if it were to include subject matter, teaching theory, and teaching practice, would accelerate the improvement of teacher education, inform campuses of the strengths and weaknesses of their teacher education programs, assure the public of quality control, and enhance the professional stature of school teachers. The need for such an assessment has been recognized by the Institute for Educational Reform and by Policy Analysis for California Education (PACE).

STRATEGY ELEVEN: DEREGULATE COLLEGES AND UNIVERSITIES.

At a time when colleges and universities are asked to be more flexible and productive to meet public needs, it is important that laws and regulations that govern them do not impose unnecessary costs or inefficiencies. The university is constitutionally protected from many statutory and administrative requirements. The state university and the community colleges are not, and California has imposed more regulations on these two systems than other states have on similar institutions. The California Community Colleges are the most heavily regulated public colleges in the nation.

Some regulation is appropriate, of course. But the cumulative effect of years of adding incrementally to the codes has produced an

Acknowledgments

STAFF

Patrick Callan
Executive Director

Joni Finney
Associate Director

William Trombley
Senior Editor

Kathy Reeves Bracco
Senior Policy Analyst

Gail Moore
Director of Administration

Heather Jack
Assistant Director of Administration
and Communications

Christy Ott
Administrative Assistant

Frank Bowen and William Pickens served as senior consultants and participated in all phases of the development of *Shared Responsibility*.

The following individuals served as advisors to the Center, critiqued drafts of the report and participated in review sessions: David Breneman, William Chance, Lyman Glenn, Robert Harris, James Harvey, Gerald Hayward, Dennis Hunt, Dennis Jones, Thad Nodine, Virginia Smith, and William Zumeta.

Douglas Alexander, Kristin Burnett and William Doyle provided research support for *Shared Responsibility*.

Thad Nodine was the editor of *Shared Responsibility*.

William Chance, William Pickens, and William Zumeta developed special analyses of graduate programs, California higher education finance, and state policies affecting independent higher education respectively.

The Center acknowledges with appreciation this assistance and support.

The views expressed in *Shared Responsibility* are those of the Center.

California Higher Education Policy Center
160 West Santa Clara Street
Suite 704
San Jose, CA 95113

unnecessarily large and cumbersome legal structure that includes many archaic, unnecessarily burdensome and expensive provisions. The *Education Code*, in its annotated version, runs to three full volumes and over four hundred pages of statutes. Other legal requirements affecting the state university and the community colleges are contained in the *Public Contract Code*, the *Health and Safety Code* and several others.

It is doubtful that a piecemeal approach can address the need to eliminate requirements of questionable value to the public, and to streamline the remaining laws and regulations. The state should, therefore, establish a systematic process to review all state laws and regulations and to remove those that are found to be of questionable value to the public. As California moves toward holding colleges more accountable for *educational results*, it should be less prescriptive regarding processes and procedures. True public accountability will leave institutions with greater discretion over *how* they function while making greater demands for demonstrated results. ♦

Afterword

This report calls on the people of California, government, colleges and universities, students and families to act in concert to achieve what none of them can achieve alone: the preservation of college opportunity for the current and future generations of Californians. From this perspective, the danger is not that some will take issue with the strategies proposed here. Debate over these strategies is to be expected—and welcomed, so long as those who disagree recognize the problem, and offer their own solutions. At least four dangers will arise if the problem goes unrecognized. The first is that those to whom these proposals are addressed will “hunker down,” each protecting a separate turf, and each expecting the benefits of the social contract without accepting the responsibilities. Second, the illusory stability of the eye of the hurricane could

“I think a major restructuring is almost impossible in the absence of leadership from one or more “umbrella” state voices. Even a collection of institutions can’t do it in the absence of a leadership voice, either legislative or executive or both. Without that, it won’t happen.”

—Barry Mantz, Chancellor,
The California State University

prove so seductive that urgently needed action will be deferred. Third, more studies and analysis will be substituted for action. And finally, the political leadership of the state will not take the essential, initial steps toward action—will not place the

challenge of preserving opportunity squarely on their own agenda and on that of the other responsible parties.

The report calls for major changes on the part of all those responsible for, and served by, California higher education. It assumes, however, that these changes can be made within the existing organizational and financial arrangements and within roles and responsibilities of public colleges and universities as presently configured. During the next year, the Center will examine these assumptions critically as part of its national projects on higher education governance and finance.

However, the test of viability will not be found in studies—the Center’s or anyone else’s. The test will be the capacity of the colleges and universities to mobilize for constructive change, and to preserve California’s legacy of broadly accessible, high quality education beyond high school. ♦

Notes

¹ *Supplement to Shared Responsibility: A Resource Guide*, (San Jose: The California Higher Education Center, 1996). This report is available without charge from the Center upon request.

² A panel commissioned by the Center reviewed all available projections, and recommended these as the ones most consistent with traditional policies of broad opportunity. See David W. Breneman, Leo Estrada, Gerald C. Hayward, *Tidal Wave II: An Evaluation of Enrollment Projections for California Higher Education* (San Jose: The California Higher Education Policy Center, 1995).

³ For a full explanation of these figures, see *Supplement to Shared Responsibility*, especially the section, “Financing Tidal Wave II,” by William Pickens. The \$5.2 billion for the business-as-usual approach does not include any estimate of future inflation. The \$6.5 billion is the 1995-96 base. If inflation were to average 3 percent annually, the cost of maintaining the purchasing power of the 1995-96 base would be 8.79 billion in 2005-06, an increase of \$2.25 billion.

⁴ Patrick M. Callan and Joni E. Finney, *By Design or Default?* (San Jose: The California Higher Education Policy Center, June 1993).

⁵ Robert H. Atwell, “Financial Prospects for Higher Education,” *Policy Perspectives*, September 1992.

⁶ RAND, “Does California’s Fiscal Future Bode Ill for Education? A Policy Brief” (Santa Monica: 1996), p. 2.

⁷ Stephen J. Carroll, Kevin F. McCarthy and Mitchell Wade, “California’s Looming Budget Crisis” in *RAND Research Review*, Fall 1994, p. 3.

⁸ See two reports prepared by Public Agenda for the California Higher Education Policy Center: John Immerwahr (with Steve Farkas), *The Closing Gateway: Californians Consider Their Higher Education System* (San Jose: The California Higher Education Policy Center, 1993); and John Immerwahr (with Jill Boese), *Preserving the Higher Education Legacy: A Conversation with California Leaders* (San Jose: The California Higher Education Policy Center, March 1995).

⁹ See “An Interview with Clark Kerr,” *CrossTalk*, a quarterly publication of The California Higher Education Center, 1993.

¹⁰ See William Pickens, *Financing the Plan: California’s Master Plan for Higher Education, 1960 to 1994* (San Jose: The California Higher Education Policy Center, 1995).

¹¹ “The Golden State at Risk: A Joint Statement on the Crisis Facing California Higher Education Prepared by the Higher Education Members of the Education Roundtable,” Sacramento, February 1993. For the major exception, see *Choosing the Future: An Action*

Agenda For Community Colleges, a report of the Commission on Innovation to the Board of Governors of the Community Colleges (Sacramento: 1993).

¹² California Postsecondary Education Commission, *A Capacity for Growth: Enrollments, Resources, and Facilities for California Higher Education, 1993-94 to 2005-06* (Sacramento: 1995), p. 98.

¹³ CPEC, *A Capacity for Growth*, p. 68; and S. Geiser and L. Guerra, *Making Better Use of the Physical Plant* (Oakland: UC Office of the President, 1994), p. 18.

¹⁴ Lawrence E. Gladieux and Jacqueline E. King, *Trends in Student Aid: California* (San Jose: The California Higher Education Policy Center, 1995).

¹⁵ President’s Council of Advisors on Science and Technology, *Renewing the Promise: Research-Intensive Universities and the Nation* (Washington D.C.: 1992).

¹⁶ The California Business Roundtable, *Mobilizing for Competitiveness*, 1984, p. 32.

¹⁷ See particularly John Goodlad, *Teachers for Our Nation’s Schools* (San Francisco: Jossey-Bass Publishers, 1990).

¹⁸ *The Teachers Who Teach Teachers* (Sacramento: The California State University Institute for Educational Reform, 1966).



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EFF-089 (3/2000)