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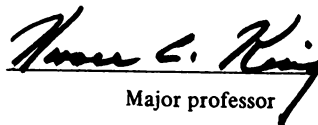
SOME ASPECTS OF UNDERSTANDING THE HISTORICAL EVOLUTION  
AND FUTURE DEVELOPMENT OF THE POSITION OF THE REGISTRAR  
WITHIN A MAJOR RESEARCH UNIVERSITY.

presented by

JULIE ANN CONLIN

has been accepted towards fulfillment  
of the requirements for

M.A. degree in EDUCATION

  
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By  
Julie Ann Conlin

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## ABSTRACT

### SOME ASPECTS OF UNDERSTANDING THE HISTORICAL EVOLUTION AND FUTURE DEVELOPMENT OF THE POSITION OF THE REGISTRAR WITHIN A MAJOR RESEARCH UNIVERSITY

By

Julie Ann Conlin

Registrars of major research universities throughout the nation need to familiarize themselves with the overall view of their institution and profession. Registrars need to become students and learn all they can about their worth to the institution and develop an informed position on where they should stand. Registrars must grasp a firm and clear understanding of their place within the organization and forecast the future of that position. The registrar who can combine his/her own personal mission and objectives with that of the institution can begin to form an effective analysis of his/her role and work toward perfecting that contribution as a scholar in the university. Working within the system of a university involves not only understanding one's own university; but also understanding the mission, goals, and background of major research universities in general -- and how they have developed and evolved through the various changes which have affected higher education.



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CHAPTER I  
DESCRIPTION OF THE PROBLEM AND METHOD OF RESEARCH

The Problem

The so-called "Golden Age" of higher education of post-World War II was a monumental period consisting of tremendous growth, recognition, and change for colleges and universities nationwide. This progressive era lasted from 1940 - 1970, and during this time educational institutions throughout the country were restructured and reorganized to accommodate the ever-changing educational atmosphere. The "Golden Era" began with a rapid student enrollment growth and was followed by faculty, college, and departmental expansions; the introduction of computer technology; and the intervention of the federal government. The impact of this period was best described by Derek Bok in his book Beyond the Ivory Tower.<sup>1</sup> "After World War II... the role of the universities changed radically. The student population grew to more than ten million as half of all high school graduates sought some form of higher education. Vast building programs were undertaken to accommodate these swelling enrollments. Federal budgets for campus-based research also expanded steadily,

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<sup>1</sup>Derek Bok, Beyond the Ivory Tower, (Cambridge: Harvard University Press, 1982), p. 6.

exceeding \$3 billion by 1965." Since this post-World War II period, an increasing specialization of registrar related functions has been experienced. For example, a trend developed in the 1950's, to separate the admissions office from the office of the registrar. Data processing came of age and developed as a separate university entity. The development of financial aid legislation led to highly specialized financial aid offices. Student life and student affairs became more specialized. The present computer age has drastically changed the process of record keeping and related procedures within the office of the registrar. As universities established a greater dependence on administrative computing, the position of the office of the registrar has been radically affected. The question was asked among registrars at a recent national meeting of the Association of American Universities' Registrars: "Are we withdrawing to an ever-increasing narrower specialization, or do we need to be broadening our interests and horizons?"<sup>2</sup>

Faced with these new challenges, university administrators found themselves having to constantly readjust their plans and procedures. Many administrative structures grew with the addition of new offices reflecting new dimensions and responsibilities. Historically, the role of the university registrar has undergone a variety of structural changes.

<sup>2</sup>-----  
 Minutes of the Annual meeting, February 28-March 3, 1987, Association of American Universities' Registrars, Longboat Key, Florida.

In relation to the question of increasing specialization among registrars, Registrar Horace C. King of Michigan State University met with Registrar Dennis Boyle of Western Michigan University to solicit his personal views related to the mission and guidelines of the AAU Registrars. It should be noted that Dr. King respects the ability and leadership of Mr. Boyle as the registrar at Western Michigan University, as a past president of the Michigan Association of Collegiate Registrars and Admissions Officers (MACRAO), and as an active leader in the American Association of Collegiate Registrars and Admissions Officers (AACRAO). Mr. Boyle has an outstanding professional reputation. Accordingly, excerpts from a letter from Dr. King's office files expressing Mr. Boyle's views are included here as informed opinions related to, but not necessarily in concert with, the research of this thesis study. Quotations from Mr. Boyle's letter of May 20, 1987 follow:<sup>3</sup>

I have not been negligent in responding to you on the paper on the AAU Registrars. I have read it at least half a dozen times, but between times, we have had to get out Winter grade reports, start a new session, and work on our telephone registration system, plus a few thousand other minor details.

I have reviewed the materials closely and see an ambivalent position for me. First, for the last two sessions of our MACRAO and now a little bit at our AACRAO meetings, I have heard the concerns of registrars as to exactly what their role is, i.e. in most cases a belief, or real situations where they know the role of the registrar has been diminished. In listening to these people and in trying to keep some kind of perspective as to even what's happened at WMU, I guess I believe that the role of the registrar has indeed changed in the last twenty-five years. The business we are in is full of changes and so some of these things happen without our knowledge, or so gradually that we don't pay attention to

<sup>3</sup>-----  
Letter from Dennis Boyle, Registrar, Western Michigan University, Kalamazoo, Michigan, May 20, 1987.

them until they fall in on us. We are so busy trying to keep the web together, so the university can function smoothly, we just don't have time to evaluate all these changes. Upon reflection, and I know it sounds self-serving, I cannot help but believe that it is the case that the mundane routine day to day operation, the drone work, as I call it, has almost been completely eradicated from the faculty and now administrative mind because of the good work of so many registrars. I, again, maybe with some exaggeration, believe this is so because we have done so well in most cases throughout the country in keeping the university operating quite smoothly on this detail and mundane end. Where we have failed is because the university's expectations and demands for more service, more information, and faster service - especially faster service - has caught us without the resources to do the job appropriately. The typical university response is to create a new office with new administrators that are placed in, over, or outside the registrar. Then if this office suffers the same problem for lack of resources, another office is created to pick up some other facet and so at least at Western, and in talking with many other registrars, we see a proliferation of offices and groups around campus who have designated authorities in certain areas that at one time belonged to the registrar's area: admission, financial aid, institutional research, etc.

For the most part, registrars have gone along with this because they are so overworked and understaffed that they were glad to get the problem resolved as they, more than most, knew how important the task was. To argue the point that this was not the best way to cure the problems - but to increase the registrar's resources has left us open to charges of empire building and power brokers.

For myself, egotistically speaking, we have been fortunate to be able to report to Vice Presidents for Academics and to resist efforts to move us to the V. P. of Student Services. At least 80-90% of our work is with the academic areas, and we must have, or at least I must have, some kind of direct access to the Deans and Vice Presidents. What little clout we might have in helping us to do our jobs depends greatly on the fact we all report to the same boss in the academic area.

We have a new breed of administrators who are in higher education today. Many have not come up through teaching ranks or even high school ranks and are coming in with very little background about a university except as a student or graduate assistant. Those people are being moved into positions of authority and have no real understanding of the complexity of the volume and mass that we must move in the way of data, but are quick with ready answers and solutions to very complex problems

which in most cases simply further compound and make the situation more complex. We, in turn, must argue and fight that some of these ideas are not appropriate or proper, and for our efforts, we are usually charged with being inflexible, old-fashioned, and not in-tune with modern times even though with some modesty on our part, I would say, there hasn't been any group on the campuses across the country who have instituted more changes to keep the university as modern as possible on the resources we have available. These activities are further compounded by one other thing. Historically, the registrars have had a great deal of authority and power in a university because they do know the systems and the people, and therefore, information being power they have in many institutions been a very powerful force which has frustrated and made angry different groups on the campus. I believe that the Registrar's Office is one of the last remaining offices on campus where students, faculty, and others hear the word, "NO!" These groups air their grievances and commiserate with each other as to why different things aren't happening in the institution and can easily find a scapegoat in the registrar. I think the position carries that luggage simply because they are in a position to make decisions. They do make decisions, and then, of course, academic people especially, get unhappy if it isn't the decision they want.

What is the end result of all this. We see a group such as you belong to looking at the registrar's position, and item number one of their mission is, "enhance the professional status." This, I believe, will be of limited value, but do not misunderstand me, I am perfectly willing to contribute any time, efforts, or talents I may have on this quest. But I do have to believe that just as the President's power in most universities has been diminished, just as so many positions of authority in the country have been diminished, that the registrar is suffering the same fate. We may be the modern Don Quixote. Legislations, rules, and many groups make it a point to bring our society to a situation where no one person, indeed hardly any group, except maybe the Supreme Court, can make a decision they don't want to hear. In my reality, we are fighting a losing battle, but we can try to prolong it.

Affluence has made our university really quite fat compared to what it was when I first started in this business twenty-two years ago, and in your case there must be some shocking disparity as far as you are concerned when you started compared to what we are today. Our propensity is to holler "poor" and yet to see some of the staffing decisions I alluded to above makes me really think that it will be some time before the



situation is corrected. I'd believe, however, some of it will self-correct as we see hard times again, and we are forced of necessity to cut back some of the staffing. The university will then search for someone to pick up the slack, and I have no doubt the Registrar's Office will be one of these areas.

So, am I interested in this association? Yes, I am. The Registrar's Office is a vital cog in the university. It disturbs me to see many good registrars take criticism for situations outside their control; or to see the continual proliferation of those responsibilities to other areas that cannot carry them out nearly as efficiently, effectively, or cost-benefit wise. But, this is modern America, and I guess we have to roll with these punches and put up with it until money becomes more dear. In the meantime, organizations such as MACRAO, AACRAO, and maybe the AAU, will meet to help each other in understanding these various, conflicting tug-of-wars that are going on around us, help us maintain our self-image and ability to cope with all these various things, and continue to help plead the case that is so vital that it must be protected and nourished.

The last thing, Horace, that I must confess to you with some embarrassment is that one of the propensities, at least in this state, is to bring more and more registrars in with complete lack of background as to what the job entails. I mean a complete lack - they have not taught school, they have never been in administrative positions in K-12 or college work, and all of a sudden, they find themselves the registrar, and though they are full of good intentions, without some of this background, they really have many voids. I find it very difficult to communicate with some of them.

Well, this is a long dissertation, and I hope it will add some dimension to what is going through your mind. It is an interesting struggle. Maybe it's been going on for decades, and we're just aware of it because of our own positions.

"Actorum memores simal affectamus agenda"

"Remembering things past, at the same

time we look towards

what must be done.

The Office of the Registrar is an academic support unit -- not a student life operation. However, wherever the registrar is assigned for reporting within the organization, the registrar is well advised to develop and maintain a network with the academic units and deans.

Registrars of major research universities throughout the nation need to familiarize themselves with the overall view of their institution and profession. The registrars need to become students and learn all they can about their worth to the institution and develop an informed position on where they should stand. Registrars must grasp a firm and clear understanding of their place within the organization and interpret the future of that position. The registrar who can combine his/her own personal mission and objectives with that of the institution can begin to form an effective analysis of his/her role and work toward perfecting that contribution as a scholar in the university. Working within the system of a university involves not only understanding one's own university; but also understanding the mission, goals, and background of major research universities in general -- and how they have developed and evolved through the various changes which have affected higher education.

Registrars have a rich heritage. They are a nerve center of the university. But too many registrars are withdrawing to ever-increasing narrower specialization. Registrars need to learn from their mistakes. They must become seasoned. They must become more effective at communicating. Registrars need to have an institutional view. Registrars need to train future registrars. They need to understand and interpret the future. Registrars need to work within the system to achieve their goals. One interpretation of working within the system is to understand a major research university. Thus, research is a key. Another key is scholarly stature.

For the registrar of a major research university to develop a scholarly stature he/she must have command of a complete institutional view recognizing an institution's past and present while also understanding the historical background of the research university in general. To undertake a fundamental study of the registrar's position in a research university also involves understanding the Association of American Universities (AAU). This is important in assisting the registrar with a professional perspective related to the complex activities of a research university. The AAU helps registrars grasp an overall knowledge concerning their profession, which in turn assists them in comprehending the basic understanding of institutional views within a research university. This study undertakes an analysis of the importance of this type of scholarly stature for the registrar of a major university, and also is concerned with some aspects related to the historical development of the Association of American Universities in relation to the registrars profession.

During the past quarter century, the Registrars of the Intercollegiate (Big Ten) Conference and The University of Chicago have been holding annual meetings. In these meetings it is frequently commented that the registrars are able to communicate effectively because this grouping of institutions has more in common than is offered in other settings. Coincidentally these eleven institutions are all members of the Association of American Universities (AAU) representing strong programs of graduate and professional education and scholarly research. In the November, 1985 meeting of this grouping of registrars that met at Ohio State

University in Columbus, Ohio, a long considered topic began to receive serious discussion; that is, the advantages that would be available to each registrar if a group in restricted size such as the fifty-six AAU Registrars could find the opportunity to get together regularly to compare notes and chart their future.

In the following year during the period November 16-18, 1986, the Registrars of the Big Ten Conference and The University of Chicago met for their annual meeting at Purdue University in West Lafayette, Indiana. At that time it was decided to poll each of the other forty-five Registrars of the AAU institutions by telephone to see if they would be interested in meeting together. The response to the telephone calls was very positive, and in several cases surprisingly enthusiastic for calling such a conference.

The Registrars of the Big Ten Conference and The University of Chicago designated themselves the planning committee for the forthcoming conference. Dr. Horace C. King, Registrar and Professor of Educational Administration at Michigan State University was designated General Chairperson for the Conference Program and Administrative Coordination. Dr. R. Gerald Pugh, Registrar at Indiana University-Bloomington, was named Chairperson for the Conference Facilities and Logistical Arrangements.

Appendices A, B, C, and D relate to the organization, planning, and minutes of the first annual meeting of the AAU Registrars, February 28 through March 3, 1987 in Longboat Key, Florida.



This thesis is concerned with some aspects of understanding the historical and future development of the position of the registrar within a major research university.

Inherent in such an analysis would be the following:

- I. The relationship between the Registrars of the Big Ten Conference and The University of Chicago has developed remarkable well, but now is the time to realistically make a concerted effort to further expand and strengthen this relationship to incorporate the AAU institutions.
- II. The philosophy of the relationship between the registrar and his/her respective institution is not clearly defined and understood, and without this philosophy and understanding of an institutional an AAU overview, this relationship lacks basic purpose and direction.

#### Securing the Data

The data for this study have been selected as follows:

- I. A review of selected books, reports, and other like materials for the purpose of developing the:
  - A. Historical background of the position of registrar and the evolution of American higher education.
  - B. The impact of the research university on American higher education.
  - C. The influence of the American Research University on the position of registrar.

- D. Economic factors affecting the growth and development of the American research university with specific reference to the Morrill Act of 1862, and the impact of World War I and World War II.
- II. The writer has reviewed in detail the historical records of the founding of the Association of American Universities' Registrars. This review has been concerned with:
- A. Identification of the fifty-six institutions comprising the current membership of the Association of American Universities.
  - B. A profile of the fifty-six member institutions of the Association of American Universities.
  - C. The Mission and Guidelines of the Association of American Universities' Registrars.
  - D. A distinction between public and private American research Universities.

### Interpreting the Data

In identifying data from the sources outlined above, the order of development for this study will include:

- I. The evolution of the position of the registrar and of American higher education.
- II. An overview of the American Association of Collegiate Registrars and Admissions Officers.
- III. The shaping of American research universities.



- IV. The importance of management in American higher education.
- V. Conclusions drawn from an appraisal of the evidence gathered in the published books, reports, and other like materials; from the historical records of the founding of the Association of American Universities' Registrars; and from the writer's understanding and knowledge of the situation.
- VI. Specific recommendations concerning the action that this study indicates are required to improve the relationship between the registrar and his or her respective AAU institution.

It is not the intention of the writer to present this as a formalized historical study, but rather to utilize the historical and cultural background of the position of the registrar in AAU institutions as a means of understanding the social forces at work that have a bearing upon the present and future relationship between the registrar and his or her respective AAU institution.

## CHAPTER II

### THE EVOLUTION OF THE POSITION OF THE REGISTRAR AND AMERICAN HIGHER EDUCATION

Reviewing the history of the registrar's position in concurrence with the evolution of American higher education provides present-day registrars with informative knowledge. A descriptive evolution explains the registrar's position and status within American higher education as it has progressed and expanded. By understanding this history, registrars can become familiar with their professional origin within higher education. This study also focuses on the various changes that have evolved and developed into present-day registrar administration, duties, and organizational structure.

The registrar's role and function can be traced into educational antiquity to at least the end of the twelfth century and the emergence of the office of the bedel or beadle<sup>1</sup> (from German Butil and Buttel

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<sup>1</sup>Hastings Rashdall, The Universities of Europe in the Middle Ages, I, (Oxford: Clarendon Press, 1985); Edward M. Stout, "The Origin of the Registrar," College and University, XXIX, (1954), pp. 415-418. Note: Hastings Rashdall (1895), the foremost authority on the medieval universities, uses the spelling bedel from bedellus or pedellus. Edward Stout (1954), writing on the origins of the registrar's office, uses beadle, but inadvertently credits the University of Paris with developments that actually took place at Bologna, Italy.

and Old English bydel, a herald) at the three great archetypal universities: Bologna in Italy, Paris in France, and Oxford in England. Like other medieval institutions, such as the Church and courses of law, these universities required an official to proclaim messages and execute the mandates of their authorities; and like all more recent academic institutions, they needed specialized administrative officers to assure their academic operations, whether maintaining institutional records, finances, facilities, or simply institutional order. At Bologna the registrar's title was bidelli generale; the duties included preceding the rectors on public occasions, collecting the votes in congregation, visiting the schools to read statutes and decrees, announcing lectures by students, and distributing lists of books which the stationarii (keepers of book stalls) or individual students had on sale. The bidelli generale or general bedel also served as a catalyst for research and publications, ensuring a continual supply of scholastic literature by enforcing the requirement that each doctor, after holding his disputatio or repetitio, write out his argument or thesis for submission to the general bedel. Failure to comply resulted in a fine. The general bedel, presumably after carefully checking the doctor's work, delivered it to the stationers for publication. There was one bidelli generale for each university, and each doctor had a special bidelli who looked after the doctor's classes and saw to it that the classroom or school, usually a rented apartment or private house, was kept clean and in order.<sup>2</sup> At the University of Paris,

<sup>2</sup>-----  
 Rashdall, op. cit., pp. 190-195.

the rector served as head of the institution, being elected by the proctors (regional heads) of the four "nations" or associations of students from particular regions of Europe. This relationship of the rector to the proctors appeared in 1249 along with the bedels or "common servants of the scholars."<sup>3</sup> The duties of the bedels, although much the same as those of the bedels of Bologna, are translated from Chartularium Universitatis Parisiensis I in the language of the Middle Ages.<sup>4</sup>

Higher education was developing along similar lines at Oxford. The university was headed by a chancellor, two proctors, and six bedels. The bedels were elected annually to serve the university and to execute its orders and maintain its state.<sup>5</sup>

By 1446 the responsibilities of the bedel began to change, and the registrar's office first emerged officially when an academic officer with the title of "registrar" was appointed at Oxford. This officer's duties were to give form and permanence to the university's public acts, to draft its letters, to make copies of its documents, and to register the names of its graduates and their "examinatory sermons".<sup>6</sup> In 1506 Robert Hobbs was appointed as "registry" of Cambridge. Hobbs was chiefly responsible for regulating and coordinating university ceremonies, but in 1544 his successor was  
 3-----  
Ibid.

<sup>4</sup>L. Thorndike, University Records and Life in the Middle Ages, (New York: Columbia University Press, 1944), pp. 72-73.

<sup>5</sup>C. E. Mallet, A History of the University of Oxford, (London: Methuen, 1924), p. 176.

<sup>6</sup>Ibid., p. 327.



assigned the responsibility, by the vice-chancellor of the university, of reviewing all applicants for matriculation. Later, at Cambridge as well as at Oxford and then at other British universities, the registrar came to act as the secretary for all academic bodies. Even today, British registrars continue to serve primarily as their institutions' secretariat, preparing agendas for official meetings, keeping minutes, conducting correspondence, and, at some universities, collecting fees.<sup>7</sup>

Elsewhere in the British empire, the registrar's and bedel's office was also institutionalized. In Australia, for instance, the University of Sydney opened in 1850 with a registrar on duty from the beginning, and even today it maintains an esquire bedel and a yeoman bedel as well as a registrar.

In America the registrar's responsibilities at various educational institutions have depended largely on the institution's expansion rate and general developmental background. The founding of American colleges and universities and the rise of major research university movements have each played an important role in the shaping of the present day position of the registrar and other academic administrative positions.

In America the founding of the colleges took place during the period of 1636-1776. The two major concerns of the founders of Harvard College, the nation's first institution of higher education, were the advancement of learning and training of clergymen. These

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<sup>7</sup>W. E. Johnston, Jr., "The Registrar in English Universities," Association of American Colleges Bulletin, XXXV, (1949), pp. 295-301.





continued to be the dominate purposes of higher education throughout the colonial period.

The nine colonial colleges founded between 1636 (Harvard) and 1769 (Dartmouth) used the English college, rather than the university, as their model. With one exception, all were founded and supported by religious groups. These early colleges, however, were not the equivalent of today's divinity schools. At no time was only theology taught, for it was assumed that the clergy, who were the educated leaders of the day, needed a broad, general background. Classical languages, Hebrew, logic, rhetoric, ancient history, and mathematics usually formed a substantial part of the curriculum followed by all students; and there was little or no training in applied sciences, modern history, or modern languages. From the beginning, students were admitted to prepare for other professions and there was usually no practice of excluding students who were not members of the denomination that controlled the institution. The college, with its emphasis on the ideal of developing the gentleman scholar, remained a potent force in American higher education until the rise of the university.<sup>8</sup>

During this period in America the registrar's academic record-keeping functions apart from the financial record duties of the college steward concerning students' bills, remained at Harvard a part-time faculty duty into the mid-nineteenth century. During the 1820's, Harvard's Hollis Professor of Divinity, the Reverend Henry

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<sup>8</sup>Todd W. Furniss (ed.), *American Universities and Colleges* (11th ed.; Washington, D. C.: The American Council on Education, 1980), pp. 3-4.

Ware, was supplementing his professor's salary by \$150 a year for his work as Harvard's registrar, plus another \$150 for conducting its chapel services.<sup>9</sup> And from 1880 to 1888, Harvard's Professor of Mathematics, Charles Joyce White, performed both teaching and registrar functions.

Unlike Harvard, its Connecticut offspring, Yale, adopted the bedel tradition. Thus, at commencement in 1778, in the midst of the Revolutionary War, Yale's new president, the Reverend Ezra Stiles, called on the "vice bedellus" and the junior tutor to convene the ceremony and oversee the examination of the thirty-six candidates in Greek, Latin, and the sciences. Afterward, the vice bedellus read the Diploma examinatorium on Stiles' behalf of the examiners and candidates and, following a recess, to the ladies and gentlemen assembled in the college chapel, before returning it to Stiles for deposit in the college archives.<sup>10</sup>

The period of 1776-1862 was one of experiment and diversity. The founding of American institutions of higher education had begun to increase during the twenty-four years before the Revolutionary War and by 1820, twenty-nine more institutions had been added.

During the 1850's the number of schools of applied sciences increased; the Polytechnic Institute of Brooklyn and Cooper Union were founded, as well as state schools of agriculture in Maryland,

<sup>9</sup>-----  
James C. Quann, Admissions, Academic Records and Registrar Services, A Handbook of Policies and Procedures (San Francisco: Jossey-Bass Publishers, 1980), p. 5.

<sup>10</sup>F. B. Dexter, The Library Diary of Ezra Stiles I, (New York: Scribner's, 1901), pp. 287-288.

Pennsylvania, and Michigan (Michigan State University). The established colleges then initiated programs emphasizing scientific training; both Harvard and Yale established such schools in 1847, and in 1851, Dartmouth received \$50,000 to support a separate department of science. In 1861 the Massachusetts Institute of Technology was chartered.

The success of the separately organized technical schools curtailed their further proliferation. They had demonstrated a need for an educational program that the established institutions could no longer ignore. Additionally, the Land-Grant College Act of 1862 specifically required that participating institutions include agriculture and the mechanic arts in their curricula. The professional curricula of the technical institutions were increasingly incorporated into the private and public universities and colleges.<sup>11</sup>

The normal school, the prototype of the teachers college, also began within this period. The first state-supported normal school was established in Lexington, Massachusetts, in 1839. The primary function of these institutions was to train teachers for the rapidly expanding public elementary schools. As public secondary schools began to grow, it became obvious that a more comprehensive training for teachers was needed. Consequently, the normal schools either closed or developed into teacher colleges.

<sup>11</sup>-----  
Furniss, loc. cit.

In this period, a clear distinction emerged between public and private institutions. The colonial governments had often contributed to institutions of higher education, and the practice was not immediately discontinued. Partially because of dissatisfaction with the policies and the curricula of the denominational colleges, the states began to consider alternative ways of influencing the pattern of higher education. One possible method was to take control of existing institutions; another was to establish schools of their own. The famous Dartmouth College case in 1819 clearly established that state institutions could not be created from existing private ones (without their consent) by an act of a legislature; and that if the states were to operate institutions of higher education, they would have to fund and support them. The beginnings of such institutions were already in evidence. Three state institutions of higher education were chartered before 1800: the universities of Georgia (1785), North Carolina (1789), and Vermont (1791). By the Civil War, twenty-one had been established. The University of Virginia (1819) introduced the elective course system and maintained unusually high academic standards. Before the Civil War, it was the common fate of the state institutions to remain small and plagued by poverty and neglect. It was only late in the nineteenth century that the states undertook a policy of regular support.

Another form of public higher education, the municipal college or university, was also begun during this period. Such institutions were usually controlled by city authorities and financed in part by local taxes. Louisville College, founded by decree of the city council in 1837, became the University of Louisville in 1846.



Between 1825 and 1875, the idea of a college education for women developed in several sections of the country. At first it was provided in separate colleges for women; but when Oberlin opened in 1833, it admitted both men and women and was the first degree-granting college to do so. After the Civil War, a number of separate colleges for women were established; but the general trend was toward coeducation. The coordinate college, separately organized for women but operating in conjunction with a college for men, was established toward the end of the nineteenth century; examples are Radcliffe (Harvard), Barnard (Columbia) and Newcomb (Tulane).<sup>12</sup>

During the rise of the university, two major movements, both of which had been developing earlier, came into full force. The first was the establishment of the land-grant college; the second was the emergence of the university, public and private, as the dominate and most influential structure of higher education.

One of the most important acts of legislation in the history of the development of American higher education was the Land-Grant College Act of 1862, frequently known by the surname of its sponsor, Justin R. Morrill. Although the federal government had established a policy of making specific grants of land to the states to foster higher education, the Morrill Act, because of its scope and magnitude, had a more enduring influence than any previous legislation. The bill granted each state 30,000 acres of land (or its equivalent) for each senator and representative in Congress. The proceeds from the grant were to help support at least one college whose principal aim was to provide training in agriculture and the

<sup>12</sup>-----  
Ibid.

mechanic arts, though the law specifically stated that such an emphasis was not to exclude other scientific and classical studies. In states where a public university or college had already become well established, these institutions broadened their scope to include the course provisions of the Morrill Act.

The states did not all manage their grants equally well, and it became obvious that the original grants would not provide sufficient income for the operation of the institutions. Within ten years, Morrill sponsored another bill to provide additional federal support. The measure did not pass until 1890, however, and by that time the states had come to realize that regular support was necessary if their institutions were to survive.

The land-grant colleges and universities have exerted considerable influence on the structure and curriculum of American higher education. They gave official academic recognition to disciplines previously isolated in separate professional schools; they assumed that if education were to be offered to the agricultural and industrial classes, it must be placed within their economic means; and they contributed to the development of a peculiarly American concept of the university -- what Ezra Cornell called "an institution where any person can find instruction in any study."

Concomitant, and in some instances coincident, with the emergence of the land-grant colleges came the rise of the university and of graduate education. Although there were a number of attempts throughout the first half of the nineteenth century to establish graduate education, all of them failed. It was only after the

founding of Johns Hopkins in 1876 that the university became firmly established. Once this happened, the university rapidly assumed the position of leadership in American higher education it still retains. Part of the reason for this rapid and successful emergence of the university was that it constituted, in one sense, little change at all. Many of the oldest and best-known liberal arts colleges, such as Yale, Columbia, and Harvard, became universities during this period. Several of the better-established public institutions, such as Michigan, Wisconsin, Minnesota, and California, also assumed the status of universities. Furthermore, a number of institutions were founded as universities and endowed with grants from business fortunes of a magnitude hitherto unheard of: \$1 million from Vanderbilt; \$20 million from the Stanford estate; \$30 million from Rockefeller to establish the University of Chicago. Coming into existence on so grand a scale, these universities were, from the beginning, in a position to influence considerably the course of American higher education.

Among the leaders of the university movement, there were differences about what the new structure should be. In the absence of university training in the United States, many Americans had gone to Germany to study, and there were powerful proponents for establishing the university along German lines. Presidents Gilman of Johns Hopkins, Hall of Clark, and Harper of Chicago wanted to see what is now called the graduate school of arts and sciences established as a separate structure, devoted primarily to the increase rather than the transmission of knowledge. In their view,



the graduate school was to be oriented primarily toward research rather than teaching as the college traditionally had been. But there were too many pressures against such a separate structure. The long tradition of the liberal arts college as the core of higher education; the need for providing pregraduate training to prospective graduate students; and the financial necessity of having an undergraduate college to help support the more expensive graduate training. The compromise produced a peculiarly American structure unlike any other existing university system. An essentially German graduate school emphasizing research was placed structurally on the top of an English college devoted to general education. Professional schools, which in Europe had usually existed as separate structures, increasingly were incorporated into the university.<sup>13</sup>

Professors within these new American colleges continued to serve as registrars during the latter part of the nineteenth century. Thus, when Cornell opened in 1868, its first Professor of Moral and Intellectual Philosophy and Religion, W. D. Wilson, doubled as its registrar. But the end of the century saw the evolution of the registrar's role as an increasingly professional, specialized, full-time administrative task. For example, when Stanford opened in 1891, Orrin Elliott joined its staff as full-time registrar and administrative officer second only to its president. Edith D. Cockins, a clerk in the recorder's office became the first registrar at Ohio State University in 1897, and Howard Tibbits of the class of 1900 became acting registrar at Dartmouth in 1902 and permanent registrar in 1908.

<sup>13</sup>-----  
Ibid.



This trend toward full-time administrative duty is illustrated by a representative sample of thirty-two colleges and universities. As of 1880, 85 percent of the registrars at these institutions also taught. In contrast, as of 1933 only some 20 percent continued to teach; nearly 80 percent had become full-time administrative specialists.<sup>14</sup>

Apart from the college president, the treasurer, and the librarian, the registrar was among the first administrative officers to become a specialist. Among these thirty-two institutions, for example, the registrar's position was created in 1891, dean of women in 1896, chief business officer in 1906, and dean of men in 1920.<sup>15</sup> Among another sample of twenty-five liberal arts colleges, the registrars also predated the deans and business officers. All twenty-five colleges created the registrar's position between 1881 and 1920, with the median year being 1896.<sup>16</sup> Among the institutions that would later constitute the Association of American Universities, less than 10 percent had registrars as of 1880, but 25 percent had designated them by 1890. This number jumped to 42 percent by 1900, 76 percent by 1910 (the founding year of the American Association of Collegiate Registrars and Admissions

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<sup>14</sup>E. J. McGrath, "The Evolution of Administrative Offices in Institutions of Higher Education in the United States from 1860 to 1933" (unpublished Ph.D. dissertation, University of Chicago, 1938), p. 129.

<sup>15</sup>Ibid.

<sup>16</sup>F. A. Partridge, "The Evolution of Administrative Offices in Liberal Arts Colleges from 1875 to 1933" (unpublished Master's thesis, University of Chicago, 1934), p. 77.

Officers), over 90 percent by 1920, and all of them by 1930.<sup>17</sup> The need for full-time professional aid for accurate records and efficient procedures became increasingly evident in the early decades of the twentieth century as institutions grew in size and their curricular offerings and electives burgeoned. Registration procedures alone illustrated the need; by the 1920's at The University of Michigan it is said that students had to be in line by 4 a.m. to be sure of getting registered by the end of the day; and as late as 1937, students at Michigan State University were spending an average of seven hours in line at each registration period. Such stories of registration were common at many institutions.<sup>18</sup>

Registration was only one area of the registrar's responsibility. Among the information and clerical services performed by most registrars during the 1920's were those, for example, at Stanford, where the registrar "cared for student records, handled official communication between students and academic committees, prepared all official publications, and acted as a central bureau of information about the academic work of the university." During the 1920s the registrar's office was assuming an increasing variety of other student personnel services.<sup>19</sup> They often corresponded with prospective students, conducted high school visitations, sent and received application forms,

<sup>17</sup>-----  
B. H. Jarman, "The Registrar in Institutions Accredited by the Association of American Universities," College and University, XXIII, (1947), pp. 96-113.

<sup>18</sup>Quann, *op. cit.*, p. 7.

<sup>19</sup>C. U. Walker, "The Functional Structuring of Stanford University" (unpublished doctoral dissertation, Stanford University, 1964), p. 97.

oversaw scholarship and financial aid awards, greeted freshmen and transfer students, conducted their orientations, advised them on programs and courses, counseled them on vocations and careers, scheduled classes, forecast enrollments, predicted tuition income, analyzed teaching loads, responded to questionnaires, conducted other institutional research, suggested curriculum revisions to the faculty, signed diplomas, and even shook hands with graduating seniors at commencement. This expanded role of the registrar's office was epitomized in 1925 with the publication of "A Code of Ethics for Registrars," developed by a committee of the American Association of Collegiate Registrars'. "The everyday details of duties performed by my office are secondary to the opportunity to add my influence in the building of character through personal contact outside my official capacity," the Code proclaimed on behalf of registrars, "and to this end the door to my office shall ever swing inward to students seeking advice and encouragement."<sup>20</sup>

Later in the twentieth century, the inward-swinging door of the registrar's office was less frequently used by students seeking advice and encouragement, since many student services began to be provided by separate and independent offices -- among them admissions, counseling, placement, and academic advising. With the growth of these other administrative specialities, registrars have assumed their present roles as managers of data. That is, they now

<sup>20</sup>-----  
Committee on Code of Ethics, American Association of Collegiate Registrars. "A Code of Ethics for Registrar." Proceedings of the American Association of Collegiate Registrars, 13th National Meeting, 1925, 1, pp. 259-260.

serve as the center of an information system and the output of data to various individuals and agencies; they also serve as a major source of institutional facts that can and should provide the raw material for effective academic decision making.<sup>21</sup>

Although private colleges and universities had employed field representatives and admissions counselors before World War I, and Columbia University opened its Office of Admissions in 1915, separate admissions offices and officers were largely a product of later decades. R. R. Perry reports that admissions developed as a specialization in college and university administration after World War II.<sup>22</sup> The enactment of the first "G. I. Bill of Rights" (the Servicemen's Readjustment Act) in 1946 accelerated the change of higher education from a privilege to a necessity and a right, and also increased the importance of the admissions staff. The rapid influx of students that resulted from it created a dilemma, since the extremely limited physical and educational resources could not accommodate all the prospective students requesting access to these resources. The nation, recovering both from World War and the Great Depression, looked to education for solutions to the problems facing mankind; but few institutions, large or small, had sufficient teaching staff, classroom space, or laboratory equipment to meet the needs of potential students. While junior or community colleges developed as largely "open-door" institutions to meet some of the demand, most existing colleges and universities moved toward

<sup>21</sup>-----  
J. J. Corson, The Governance of Colleges and Universities. (New York: McGraw-Hill, 1975), p. 152.

<sup>22</sup>R. R. Perry, The Office of Admissions -- Role of the Administrator, Vol. II of Handbook of College and University Administration, (ed.), A. S. Knowles (New York: McGraw-Hill, 1970), p. 42.

selective admissions; and this increased the responsibility of admissions officers for screening applicants.

Two events, both centered around professional associations, marked the emergence of admissions as a specialized field. In 1937 the Association of College Admissions Counselors was founded, and in 1949 the American Association of Collegiate Registrars added "and Admissions Officers" to its title. By 1952, when Harvard University created its Office of the Dean of Admissions, admissions had become centralized in its own separate office. It was coordinated with that of the registrar or recorder, and was itself involved in "recruitment, interviewing, testing, counseling, evaluation and placement, orientation, research, and publication."<sup>23</sup> At some institutions the registrar oversaw the director of admissions, and at a few schools the director of admissions oversaw the registrar's office; but increasingly these two officers were separate and equal, reporting either to a dean of admissions and records or to central administrators.

The first consolidated administration under one dean occurred in 1870 when Harvard, then the largest college in the country, created the first deanship in any American college. The Harvard dean assumed among other duties a responsibility "to keep the records of admission and matriculation... and preserve the records of conduct and attendance."<sup>24</sup>

<sup>23</sup>-----  
E. M. Gerritz, and Thomas A. Jr., "The Admissions Office in Twenty-Eight Selected Colleges and Universities," College and University, XXIX (1953), pp. 65-68.

<sup>24</sup>R. Wert, "The Impact of Three Nineteenth Century Reorganizations Upon Harvard University" (unpublished doctoral dissertation, Stanford University, 1955), p. 84.

Little disagreement remains about the roles of the registrar and admissions officer in providing accurate information and timely assistance to everyone connected with the institution. They serve both prospective and enrolled students, they respond to faculty and administrative needs for facts, and they provide the basis for informed educational policies and procedures.

Since the roles of registrars and admissions officers are both operational and academic, the modern alignment of the offices may differ. Variations in organizational alignment will occur on a regional basis, between states, and even among sister institutions. However, two main organizational arrangements, with many variations, exist nationally. In the larger colleges and universities, registrars and admissions officers are increasingly viewed as academic officers reporting to the academic vice-president or provost. In these instances, the registrar generally has many responsibilities outside of registration and records, including but not limited to editing the catalog and serving as secretary to the faculty and various academic policymaking committees. Similarly, admissions officers not only admit students but evaluate academic credentials, supervise orientation programs, coordinate relations with high schools and colleges, and advise students. In some institutions an executive dean or director of admissions and records coordinates and supervises both functions.

Some four-year colleges and most community colleges place registrars and admissions personnel in the role of student personnel administrators reporting to a dean of students or vice-president for student affairs.



Reviewing the history of the registrar in relation to the evolution of higher education in America elicits a latent knowledge which many registrars need to grasp to completely understand their position within their respective institution, and how their position evolved. Studying the evolution of higher education and the role of registrar provides an informative perspective of how the two are closely connected in their origin. The registrar is a highly effective administrative officer. To understand the comprehensive overview of how the registrar's position has developed is important for an individual's professional growth in such a position.

### CHAPTER III

#### AN OVERVIEW OF THE AMERICAN ASSOCIATION OF COLLEGIATE REGISTRARS AND ADMISSIONS OFFICERS

The American Association of Collegiate Registrars and Admissions Officers (AACRAO) was formed "with the purpose of providing by means of an annual conference and otherwise, for the spread of information on problems of common interests, and to promote the professional welfare of its members."<sup>1</sup> AACRAO is extremely important to many registrars because of the informative role it plays within their profession. AACRAO presents issues to its members involving a variety of higher educational concerns which in turn helps registrars focus more directly on the present role of the registrar and the future of the profession. AACRAO encourages registrars to keep abreast of new ideas through the publications distributed, various conferences held, and through the registrar's own research. Understanding the history of AACRAO and its basic goals and mission provides insight for registrars so they may realize and acknowledge just how supportive and vital such an organization can be for their scholarly stature and their professional growth. In formulating a blueprint for the future, it is important to gain the perspective of

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<sup>1</sup>Clifford L. Constance, Historical Review of the Association, compiled under the direction of the AACRAO Executive Committee, 1973.

history. Therefore, this account of the Association will serve as a contribution both to the historical record and to the development of the registrar's position in the present and the future.

The American Association of Collegiate Registrars and Admissions Officers origin can be traced to the first meeting scheduled, which was on August 5, 1910, and attended by twenty-four persons assembled in a Detroit high school. These twenty-four representatives included fifteen college registrars and nine college accountants or financial secretaries. Early in the meeting the college accountants decided that since their work, problems, and methods differed greatly from those of college registrars; it would be more advantageous for them to form an independent association, later called the National Association of College and University Business Officers (NACUBO).<sup>2</sup>

Following the departure of the college accountants, the first general conference of college registrars was organized. The conference was in session all day. Topics and questions discussed at this first meeting included the duties or functions of a college registrar; the form and the content of an academic transfer from one college to another; the best and fairest method of reckoning the relative standing of students when the letter system of grading was used; how to secure from instructors a prompt report of students' grades; the new system of faculty advisers for students; how to get in touch with prospective students; the problem of late registration; and the question of whether grades should be disclosed

<sup>2</sup>-----  
 Douglas J. Conner, A statement on the history and responsibilities of the American Association of Collegiate Registrars and Admissions Officers. AACRAO Executive Director, One Dupont Circle, N. W., Suite 330, Washington, D. C. 20026.

to students.<sup>3</sup> Before adjournment the conference decided that a permanent national organization of college registrars should be formed, and that it should hold its meetings once a year.

The history of the Association, for the first thirty years of its life, is written principally in the story of its annual meetings. It was chiefly a convention organization, holding extremely stimulating and fruitful meetings each year, but doing comparatively little in between. For the most part, the speakers at the conventions were drawn from the Association's membership. With some notable exceptions that included papers by several deans and presidents, representatives of the U. S. Bureau of Education, the Carnegie Foundation, the American Council on Education, and similar educational bodies; meetings consisted mostly of registrars talking to, and with, registrars.<sup>4</sup>

"If the annual meetings were the principal fruit borne by the Association, they were happily not its only fruit."<sup>5</sup> Very early in its history, AACRAO began to experiment with publications. As early as the second annual meeting, the Proceedings were printed and issued to members. In July 1925 a more general publication appeared: "New Series Number 1" of the Bulletin, as it was then named. This publication was announced as a quarterly, to be issued in January, April, July, and October; and all members were asked to send regular contributions of news material to the editor. The name

<sup>3</sup>W. C. Smyser, "Our First Fifty Years," College and University, XXXV, (1960), pp. 435-451.

<sup>4</sup>Ibid., p. 436.

<sup>5</sup>C. L. Constance (ed.), Historical Review of the Association (Washington, D. C.: American Association of Collegiate Registrars and Admissions Officers, 1973), p. 18.

of the quarterly was changed from Bulletin to Journal in October 1937. This quarterly, now named College and University enjoys growing recognition as a leading educational journal and is one of the constructive contributions that AACRAO has made to the cause of higher education. AACRAO's publications now include a regular quarterly Newsletter; a forty-five-year-old guide, presently called Transfer Credit Practices, issued yearly and most often used by admissions officers and registrars in their day-to-day work of assessing credit transferability; the World Education Series, published with funding provided by the U. S. Department of State; books that explain the educational systems of foreign countries and assist in admitting and placing foreign students; and many other special publications for the general and specific need of the Association's membership.

Since its founding in 1910 as the Association of Collegiate Registrars, the organization has evolved from one with a singular scope to a multidimensional agency, in much the same way as the function of the registrar has changed since its founding in Europe in the Middle Ages. The role and record-keeping function of the earlier years underwent considerable change to meet the specialized needs of two- and four-year institutions, particularly following post-World War II enrollment increases. Administrative duties formerly performed solely by the registrar were expanded into several other areas, notably admissions. In 1949, in recognition of this extension of duties and responsibilities, the Association added "and Admissions Officers" to its name. As further specialization brought new areas within the older framework, the professional scope of AACRAO was redefined by constitutional amendment in 1964 to

include the offices of admissions, registration, records, financial aid, data management and research, institutional research, and international admissions and placement.

From its beginning in 1910 with fifteen registrars, the Association has grown in membership to over 2,000 institutions and over 7,000 active member representatives.

Association activity expanded considerably in the initial years until it produced an impact on higher education at the national level. AACRAO has long maintained constituent membership in the American Council on Education and was frequently consulted by the U. S. Office of Education. In addition, because of various certification activities assigned to registrars and admissions officers, AACRAO provides a liaison function with many federal agencies such as Selective Service, the Social Security Administration, and the Veterans Administration. The advent of contractual arrangements with additional federal agencies such as the International Communications Agency, and the Agency for International Development of the U. S. Department of State emphasizes the responsibility of the Association in matters of international magnitude. Discussions concerning these important projects led to a plan to establish a national AACRAO office in Washington, D. C. The steps to this significant action occurred as follows:<sup>6</sup>

1. In 1963 a reorganization plan was proposed for AACRAO including a Washington office and a full-time executive secretary. This received strong support.

<sup>6</sup>-----  
Quann, op. cit., pp. 353-354.

2. In June 1964 the executive committee approved the concept of an AACRAO office; and established an office advisory committee to work out details to be voted on at the annual business meeting in April 1965.
3. The constitution committee proposed constitutional amendments (approved at the 1965 annual business meeting) that gave the executive committee broad authority to establish an office, employ an executive secretary, and increase membership dues to finance this far-reaching development.
4. In July 1965 the executive committee authorized the establishment of a central office committee to expedite the creation of the AACRAO office and the hiring of an executive secretary. This committee developed guidelines for the office and initiated a nationwide search for an executive secretary.
5. The AACRAO office opened officially on August 1, 1966, at 1501 New Hampshire Avenue N. W., Washington D. C., in space leased from the American Council on Education.

The broad authority given to the executive committee in the initial establishment of the AACRAO office, "to employ an executive secretary and assign such duties as seem necessary and appropriate,"<sup>7</sup> was only a temporary step at best in developing the new alignment of association activities. Early in 1967 the constitution committee was given the assignment to restructure the Association's professional activities in a manner that would more properly depict the wide range of administrative functions being

<sup>7</sup>-----  
Ibid., p. 354.

performed by AACRAO members -- and to relate these activities to professional committee efforts. In April of 1968 the membership passed a constitution and by-laws revision that provided the following realignment of the professional committee activity:

The elected officers of the Association, together comprising the executive committee, shall include: (a) President; (b) President-Elect; (c) Immediate Past President; (d) Secretary-Treasurer; (e) Vice President for Admissions and Financial Aid; (f) Vice President for International Education; (g) Vice President for Records and Registration; (h) Vice President for Data Management and Research; and (i) Vice President for Regional Associations.

Also included in the new constitution and by-laws was a specific outline of activities assigned to the executive secretary and AACRAO office, as follows:

The executive committee shall employ (with suitable bond) a full-time paid executive secretary. He shall assist the Association by staffing and maintaining an AACRAO Office. Duties and functions shall be assigned to this office by the executive committee as determined to be necessary and appropriate, including: (a) responsibility for preservation of the Association's permanent and historical records; (b) responsibility for reserving quantities of Association publications; (c) membership promotion and maintenance of AACRAO membership files, with records of AACRAO participation and personal data for each active member; (d) maintenance of the AACRAO placement service; (e) maintenance of AACRAO financial records and budget controls, handling of receipts and disbursements, and serving as custodian of all funds and investments as instructed by the executive committee through the secretary-treasurer; (f) assistance in AACRAO mail balloting procedures; (g) coordination of liaison activities between AACRAO representatives and other agencies in higher education; and (h) service as coordinating office, when suitable, in projects of research and publication.

This restructuring placed AACRAO in consonance with the modern trends that had occurred administratively in higher education and lent direction to the development of the AACRAO office as a coordinative function for association activities and a professional support for its members to the various constituencies in higher education.



The philosophical underpinnings of the Association's decision to develop an AACRAO office might best be summarized by a statement contained in the executive secretary's report to the membership at the 1967 annual meeting.

"The AACRAO office seeks to supplement but never supplant the professional voluntarism of its active members. It follows that the office must perform the general housekeeping chores for the Association, but its central role should be to reflect the professional personality of the membership and enhance that image in a way that will benefit the status of the admissions director and registrar as functioning professionals."

This theme has remained paramount in the ongoing direction of AACRAO office activity. The primary professional responsibility designated to the executive secretary is overseeing interassociation activities - that is, joint cooperative activities with some forty educational associations and federal agencies. Many significant joint projects have developed from this function. To delineate just a few:<sup>8</sup>

1. The contractual arrangement with the Agency for International Development to provide consultants and foreign student admissions specialists who assist the agency in the selection, admission, and placement of AID-sponsored students.
2. A continuing grant from the International Communications Agency of the U. S. Department of State to publish and distribute the World Education Series booklets on the educational systems of foreign countries.
3. The joint sponsorship, with the National Association for Foreign Student Affairs, of foreign country workshops that bring together the top educational leaders of participating

<sup>8</sup>-----  
Ibid., p. 356.



countries to further the cause of international student exchange.

4. The production of Higher Education Facilities Planning and Management Manuals, in cooperation with the Planning and Management Information Systems of the Western Interstate Commission on Higher Education (now the National Center for Higher Education Management Systems).
5. The sponsorship of national workshops for education data specialists in cooperation with the American Association of Community and Junior Colleges under a grant from the Education Professions Development Act of the Office of Education.
6. An ongoing relationship with the American Council on Education's Commission on Educational Credit (formerly the Commission on the Accreditation of Military Service Experience) which has produced three national Guides to the Evaluation of Educational Experiences in the Armed Services, publications which are utilized internationally to enhance the educational opportunities for armed services personnel.

Since 1975, the addition of an assistant executive secretary, to supplement the executive secretary and administrative assistant, has enabled AACRAO to participate more fully in the wide range of consultation that takes place among higher education associations concerning federal legislation, regulatory development, and governmental relations. This process is coordinated by the American Council on Education to provide as much consistency as possible in the way that higher education responds to the federal administration and Congress.

AACRAO has been in the forefront in areas of national interest and concern. In 1974 Congress passed legislation concerning the protection of students' rights and privacy and the release of information about students by educational institutions. AACRAO participated directly with the committees of the House and Senate in the development of the Buckley-Pell amendment, which modified the original legislation; and with the Department of Health, Education and Welfare in drafting the final regulations for the Family Educational Rights and Privacy Act of 1974.

In 1977 AACRAO joined the higher education secretariat, composed of nineteen educational associations convened by the American Council on Education. This group serves as a forum for basic educational issues and affords members an opportunity to participate in issue discussions at the entry level before policy lines are drawn and developed. In these and other meaningful ways the Association, through its office, provides service to the membership at the very basic level of professional concern.

The Association has always encouraged the organization of regional associations. At the 1922 meeting in St. Louis, when it was known that there would not be an annual meeting in 1923, the registrars were urged to organize by states and regions to meet in 1923 and discuss local problems. Thus, early in the beginning of its second decade, the Association began the practice of having state and regional meetings. The regional associations provide professional stimulation to members in the field, many of whom may not be able to attend the national meeting. AACRAO also has firmly established a policy of sending executive committee members to state and regional meetings at AACRAO expense to facilitate communication between the national and regional groups.

The authority for regional associations is contained in Article IV of the by-laws. "The Association shall encourage the formation of regional associations. These associations shall determine their own constitutions consistent with the constitution of AACRAO, shall determine their own boundary lines in relation to other existing regional associations, and shall determine their own membership within the limits set forth by the national association. The regional associations shall elect their own officers, levy their own fees, and conduct their own meetings in accordance with regional interests and needs."<sup>9</sup>

Recently the formation of regional associations has taken on international dimensions with the organization of an Association of Registrars of the Universities and Colleges of Canada, and an Arab AACRAO. An African AACRAO is being developed along the lines of AACRAO's regular domestic regional associations.

In 1970 AACRAO undertook a self-study which was published as AACRAO in the 70's: A Program for Change. This self-study led to numerous recommendations for improving and enhancing the Association's services to members; and in particular called for specific effort to strengthen the organization's structure, improve communications, and increase the participatory base of AACRAO and the regional associations by establishing an AACRAO Regional Association Advisory Council. In 1973 the AACRAO executive committee approved the establishment of a Regional Association Advisory Council comprising representatives of institutional members of AACRAO grouped according to geographical areas. The Regional Association Advisory Council has become the recognized medium for

<sup>9</sup>-----  
Constance, op. cit., p. 140.



the exchange of information between the national organization and the subdivisions of the regions.

The accomplishments of the Association to date are primarily the results of thousands of persons who have represented their institutions in serving on hundreds of committees, and who have reacted to and initiated change during a remarkable period of development in higher education. All registrars need to familiarize themselves with the AACRAO organization and its numerous contributions which have dramatically affected the position of the Registrar.

CHAPTER IV  
THE SHAPING OF THE AMERICAN RESEARCH UNIVERSITY

By reviewing the background of research universities -- when they originated, how they began, their mission and purpose -- registrars are able to gain a well-balanced insight of their own institution as a research university. These universities provide the foundation for research and science within the United States. Many components make up the research university, and it is the responsibility of the registrar of the institution to realize these different elements which are everyday concerns and issues within the institution. Grasping a firm understanding and knowledge of the constituent parts and processes of the research university is vital for the registrars of these institutions. Understanding the impact on society of the research university will help registrars form a sharper perspective regarding their position within their institution's structure and future.

The myriad small colleges of different religious denominations that dotted the American landscape before the Civil War contrasted thoroughly with twentieth-century notions of higher education. From a present-day perspective the bare facts of their existence seem bleak indeed. The typical established college of this era consisted of fewer than one hundred students and perhaps five faculty members. Students were admitted whenever they were deemed to know enough Latin, Greek, and mathematics to do college work, and often the college itself was overshadowed by an associated academy that performed this preparatory



task. The colleges taught a single, fixed curriculum based upon classical languages and mathematics. To this would be added some moral philosophy, history, and a fairly general coverage of the natural sciences. The intellectual potential that these subjects did possess was largely weakened by the process of memorization and classroom rote recitation.<sup>1</sup>

Discontent with the antebellum colleges was evident chiefly among those who wanted to augment the content of their curriculum. Three clear themes -- occurring together, singly, or paired -- were articulated by critics and would-be reformers: that the colleges must give greater scope to new kinds of knowledge, particularly that being formulated in the natural sciences; that they should offer some forms of practical training which would prepare students directly for careers; and that they should incorporate advanced study similar to what could be found in European, and especially German, universities. For each of these themes advocates could muster persuasive arguments. By mid-century the conspicuous advancement of science clearly merited larger and more specialized treatment in the curriculum. Education for careers held the promise of attracting new classes of students and contributing to the economic development of the country's untapped resources. In addition, proponents of advanced study could appeal to nationalist sentiments by pointing out that the United States did not yet have a single true university. The last of these themes was most closely linked with the desire for university research.<sup>2</sup>

<sup>1</sup>James Axtell, "The Death of the Liberal Arts College," History of Education Quarterly, II, (1971).

<sup>2</sup>Roger L. Geiger, To Advance Knowledge: The Growth of American Research Universities 1900-1940 (Oxford: Oxford University Press, 1986), p. 4.

It was generally assumed that advanced study could be provided only by someone with advanced knowledge of a subject, acquired in part through original investigations. More concretely, people acquainted with European patterns of education recognized that the offerings of the American college corresponded in large part with the classical regimen of the gymnasium or lycee. It seemed clear to them that advanced study, such as that cultivated in the German universities ought to follow the completion of an American bachelor's degree. From this perspective advanced instruction and original investigation could be linked only at the graduate level. Thus, from the first, university research in America was tied to issues of graduate education.<sup>3</sup>

In general, antebellum reformers made grudging progress in areas where they did not directly challenge the dominance of the classical curriculum. The natural sciences established their most significant permanent footholds when the combination of internal pressures and timely endowments led to the establishment of first the Lawrence Scientific School at Harvard (1847) and then the Yale/Sheffield Scientific School (1854). Serious graduate education also gained a permanent, though somewhat premature, position when Yale awarded the first American Ph.D., in 1861. A decade would intervene, however, before others would follow this lead.<sup>4</sup> One of the most forceful critics of the American college, Brown's president Francis Wayland, attempted to initiate the teaching of practical subjects in the early 1850's. His efforts, however, chiefly attracted ill-prepared students, alienated faculty and trustees, and lost any hope of redemption when

<sup>3</sup>-----  
Ibid.

<sup>4</sup>Ibid.

they failed to be self-supporting. Henry Tappan, as president of The University of Michigan (1852-63), attempted to implant the scholarly ideals of a German university in the American Midwest; but, like Wayland, was ultimately forced from office -- and his reforms were repudiated, although not entirely forgotten.<sup>5</sup>

By the eve of the Civil War some cracks had appeared in the edifice that was the old American college, but it still possessed the resilience that would allow it to endure well into the age of the university. Nevertheless, the entering wedges of science and scholarship were clearly an omen. They signified a commitment to the advancement of knowledge that was incompatible with a fixed curriculum and a pedagogy based on rote learning. It was hardly accidental, then, that the most prominent university builders of the next generation had important associations with these first fruits of reform. Charles W. Eliot and Daniel Coit Gilman were, respectively, faculty members in the Lawrence and Sheffield scientific schools, and Andrew D. White taught at Michigan under Tappan. They would soon bear much responsibility for the permanent establishment of the utilitarian and scholarly goals in American higher education.

The notion that colleges should teach subjects that would have some practical utility for their students entered the mainstream of American higher education from two different sources.<sup>6</sup> It was most directly embodied in the Morrill Act of 1862, which authorized a substantial grant of federal land to each state for the purpose of maintaining "at

<sup>5</sup>Francis Wayland, "Report to the Corporation of Brown University, on Changes in the System of Collegiate Education," Read (March 28, 1950); Henry Tappan, University Education (New York, 1851).

<sup>6</sup>Geiger, op. cit., p. 5.

least one college where the leading object shall be, without excluding other scientific and classical studies,... to teach such branches of learning as are related to agriculture and the mechanic arts."<sup>7</sup> More indirectly, the idea of utility was connected with the gradual spread of the elective system, which allowed students to choose the courses that best fit their own future needs. As a philosophy of undergraduate education, the elective system is indelibly associated with Charles W. Eliot, who instituted it and defended it during his forty-year presidency of Harvard (1869-1909). Encompassing both of these developments was the opening of Cornell University in 1868, under the presidency of Andrew D. White. Dedicated to offering any person instruction in any subject, Cornell had an inherent commitment to student choice from the outset, while also being designated as the land-grant school for New York State. Each of these occurrences played a significant part of the utilitarian reorientation of American higher education.

Thus, the American research university assumed something like its present form during the fifty-year period following the Civil War. The founding of The Johns Hopkins University, the flood tide of influence from German universities, and the academic boom of the nineties all contributed to the fixing of research as an indelible commitment of the leading American universities. In this respect the American research university was scarcely different from many other American economic and cultural institutions that evolved during these decades from small localized concerns with parochial interests and clienteles into bureaucratic organizations integrated with national communications

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Ibid.

networks.<sup>8</sup> Even by the year 1920 many of the colleges, institutes, normal schools, and universities remained quite restricted in the scope and the spread of their activities; just as did a multitude of commercial and industrial establishments. However, the major research universities had become the corporations of the education industry; they were organized to gather the lion's share of social resources available to higher education, and committed to produce the most valued educational products for the most important national markets. The evolution of research universities over these years was anything but even. Between the Civil War and 1890 a series of scattered, discrete events provided precedents and stimuli for subsequent developments. The pace of change accelerated abruptly in the 1890's, reaching a peak around the turn of the century. A second surge of expansion in university undertakings and the means for their fulfillment was interrupted by World War I. In its aftermath, science, technology, and an attendant belief in human progress through rational and systematic investigation occupied a permanent niche not only in the major universities of the country -- but in the national consciousness as well.

The emergence of the American university was a multifaceted phenomenon.<sup>9</sup> The changing position of research in these emergent institutions was largely determined by four interrelated processes within this overall development.

<sup>8</sup>-----  
 Thomas L. Haskell, The Emergence of Professional Social Science (Urbana: University of Illinois Press, 1977), pp. 24-47; Robert Wiebe, The Search for Order 1877-1920 (New York: Hill and Wang, 1968), pp. 111-132.

<sup>9</sup>Roger L. Geiger, To Advance Knowledge (Oxford: Oxford University Press, 1986), p. 2.

The first was structural, in that it concerned the relationship of different institutions: how their activities were coordinated, whether through competition or cooperation; and how the actions of one university impinged upon those of others. The very notion of a distinctive set of research universities implied a far-reaching transformation of the structure of American higher education.

The second process was intellectual, involving changes in the organization of knowledge in the country. The cognitive growth of university subject matter, both at home and abroad, gradually produced a corresponding change in the way academic scholars received training, taught others, organized themselves, and communicated with one another. Together these changes affected the treatment of knowledge in the university. The curriculum soon reflected the existence of both specialists and their specialties, and the academic disciplines assumed responsibility for the sanctioning of new knowledge.

The third process was driven by the proliferation of institutional resources. On the eve of World War I the research universities were all radically larger in terms of students, faculty, and departments, but they had grown even more in laboratories, libraries, and the kind of financial backing necessary to sustain their activities.

The fourth strand in this development was support for the research role of the university. As one important university priority, research derived some benefit from the vast expansion of university resources. However, as a subsidiary of the main university function of teaching, research remained remarkably dependent upon ad hoc arrangements that, with a few exceptions, differed from field to field and from one year to the next.

By 1920, American research universities had established patterns of structure, intellectual organization, and financing that are still recognizable today. Yet, the manner in which they sustained their commitment to research was inchoate at best. The major universities had a philosophical commitment to the advancement of knowledge, but lacked a secure institutional means for meeting that commitment. Despite the great expectations of many, heightened especially by the experience of war, the status of university research remained doubly problematic: within the university it was one priority in competition with other institutional goals, while to a considerable extent its feasibility depended upon the impulse of external patrons. By this date probably fewer than twenty-five universities were seriously committed to research as an institutional goal.<sup>10</sup>

Universities do not perform research, of course; but individuals do. The conduct of research requires time and, depending on the subject, varying amounts of material resources. For a university's capacity to foster faculty research, both of these requirements presented parallel considerations. The inevitable mixture of teaching and research at all American universities meant that a certain portion of the needed resources was simply enmeshed in the makeup of the institution. With respect to faculty time, the portion available for research was inversely related to the teaching load. With respect to material resources, the research potential was inherent in the physical size and design of laboratories, the collections in the library, or even the provision of faculty offices. Beyond these considerations, however, lay the problem of resources explicitly required for research. These consisted chiefly of incremental expenditures clearly distinguishable

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<sup>10</sup>Ibid., p. 5.





from the cost of everyday university operations; i.e., faculty time specifically set aside for research, special equipment or collections, travel necessitated by research purposes, or personnel needed for supporting services.

These two types of requirements presented problems of a different order for research universities as they developed. Resources depended heavily, in the long run, upon the overall level of university wealth. This is not to deny that hard choices were often involved -- that some universities were more willing than others to sacrifice campus amenities to the goal of the advancement of knowledge. Rather, it is simply to highlight the inescapable fact that low teaching loads, space for faculty research, up-to-date laboratories, and large libraries first required the availability of ample institutional resources -- and only then decisions about deployment. Incremental resources were different because they could not be lumped into the general mission of the university and into its general operating budget. Even wealthy institutions were exceedingly wary of making large or lasting commitments of discretionary funds purely for the furtherance of individual research, and this was for good reason. They lacked income for these purposes; there was an inherent problem of equitable distribution; and such needs had no foreseeable limits. An unspoken understanding consequently existed before the turn of the century that the needs of research-minded faculty would have to be funded from extramural sources. More often than not, this meant that individual professors paid their own extra research expenses.<sup>11</sup>

<sup>11</sup>-----  
Ibid., pp. 67-68.

"The American university is emphatically a teaching university," stated David Starr Jordan in 1906.<sup>12</sup> This was certainly true compared with the emphasis on examinations in British and French universities, or with the scope allowed for research in German institutions. American students entered the university with far less preparation than their European counterparts, and were consequently far more dependent upon their mentors for basic instruction. The characteristic American form of certification that emerged in this period reflected the centrality of the teaching imperative: credit hours testified to the volume of instruction received, while letter grades signified the extent to which the material may have been learned. A recurrent dream of American university builders was to jettison a major portion of this teaching burden in order to orient the universities more definitely toward research. During the height of German university influence, it was common to equate "true" university work with the graduate level of American higher education.

Another inquiry into teaching loads revealed that by 1920 some differentiation was taking place among research universities. The most prestigious universities that attracted the greatest number of graduate students, which were by and large the wealthiest institutions as well, required their faculty to teach from six to eight hours per week. In other research universities ten to twelve hours was a more likely load. It has been concluded that "to require no more than six to eight hours of teaching from a professor... is, therefore, already in the United States a mark of first class practice." Clearly in this class were Columbia, Cornell, and Harvard; California and Chicago met this standard for faculty doing graduate teaching; while Stanford, Yale, and, perhaps

<sup>12</sup>-----  
Ibid.



Michigan barely qualified for inclusion. By this juncture, then, these schools were granting their faculty an amount of time for research that other universities were not capable of matching.<sup>13</sup>

The mission of research in American universities has been irrevocably associated with the founding of The Johns Hopkins University in 1876: "perhaps the single, most decisive event in the history of learning in the Western hemisphere," as it has been extravagantly, but not unreasonably, described.<sup>14</sup> Although it was undoubtedly inevitable that the ideals of the world-leading German universities would eventually affect American higher education, it was no less inevitable that Germanic conceptions of scholarship would be assimilated into the unique context of American universities, Hopkins was, nevertheless, the first to crystallize these influences into a viable institutional form. Credit for this accomplishment belongs to the farsighted and painstaking efforts of the trustees of Johns Hopkins' will; to the deft leadership of President Daniel Coit Gilman in choosing men, inspiring scholarship, and coming to terms with the political and social exigencies of an American university; and to the distinctive chemistry of the original group of professors and fellows, who set the tone and established the customs of this institutional experiment. It was their success in creating an American research university that caused Johns Hopkins to have resonance among other major universities.<sup>15</sup>

<sup>13</sup>-----  
Ibid., p. 70.

<sup>14</sup>Ibid., p. 7.

<sup>15</sup>Ibid., p. 8; Hugh Hawkins, Pioneer: A History of The Johns Hopkins University 1874-1889 (Ithaca: Cornell University Press, 1960), pp. 3-93.

The foremost objective of Johns Hopkins was not to promote research *per se*, but to provide advanced instruction of a standard comparable to that being set in Germany. Graduate education, in fact, dominated the university from the outset. Until 1890, graduate students outnumbered undergraduates by a wide margin, and the majority of Hopkins A.B.'s actually remained at the school for some graduate work. Hopkins consequently gave an impetus to American graduate education and did much to standardize the American Ph.D. at a credibly high level. Hopkins produced more Ph.D.'s during the 1870's and 1880's than Harvard and Yale combined. By the 1890's these made-in-America scholars were carrying the Hopkins spirit into all the major universities of the country. Graduate education entails research, however, and Hopkins far more than any other contemporary American university actively encouraged original investigations by its faculty. Here, too, the contribution of the university was something more than the sum of the works of its distinguished faculty. The scholars at Hopkins aggressively seized vanguard positions in their respective disciplines, particularly through the organization of scholarly journals. Five of the six original departments at Hopkins sponsored such journals, several of which became the central organ of their discipline. Other periodicals followed, wholly or partly lodged at the university. These publications in turn played an indispensable role in the emergence of academic disciplines.<sup>16</sup>

Perhaps most important, Johns Hopkins enlarged the range of possibilities in American higher education; and by doing so also enlarged the consciousness of educators to include a concrete university

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<sup>16</sup> Ibid., pp. 21-25, 107-13, 122-24, 238-43.

research role. This was evident most clearly and most significantly in the case of President Charles Eliot of Harvard. Viewing higher education originally from the single perspective of Harvard College, he had said that a German-style university would suit Harvard freshmen "about as well as a barnyard would suit a whale."<sup>17</sup> When consulted before the founding of Hopkins, Eliot could not conceive of graduate education except in the Harvard mold -- as an appendage to an established undergraduate college that served a well-defined geographical constituency.<sup>18</sup> The reality of Johns Hopkins changed perceptions and priorities alike. Eliot could hardly ignore the fact that at least five Harvard faculty members had seriously considered, but ultimately declined, offers to join the new university. The challenge posed by Hopkins quickly acted as a stimulus for encouraging research and graduate education at Harvard.<sup>19</sup> Johns Hopkins set the standard for a research university during the 1880's, but by the end of that decade its ideals were shared to a significant degree by several other major universities. A system of American universities was taking shape.<sup>20</sup>

When the complex trends just sketched are reduced to their bare essentials, it can be seen that the natural sciences attained a foothold in American higher education around the 1850's, that utilitarian objectives became institutionalized in the 1860's, and that

<sup>17</sup>-----  
Geiger, op. cit., p. 8.

<sup>18</sup>Hugh Hawkins, "Three University Presidents Testify," American Quarterly II (1959), pp. 99-119.

<sup>19</sup>Hawkins, op.cit., pp. 38-62.

<sup>20</sup>Lawrence Veysey, The Emergence of the American University (Chicago: University of Chicago Press, 1979).

research-based graduate training became a permanent component in the 1870's. Once established, each of these trends developed according to its own internal logic and momentum. Being substantially interrelated, they powerfully reinforced one another once they were in place. As they overcame the status of innovations, they also ceased to be separable elements in the higher-education complex.

The creation of new and/or enlargement of existing universities considerably increased the density of the university network. More frequent and numerous points of contact between institutions had the incidental effect of heightening the sense of competition between schools. This was above all competition for prestige — a combination of publicity, peer esteem, and pride. There was a rapid rise of intercollegiate athletics during this period and this competition assumed a ritualized, symbolic form, which tended to become an end in itself. Behind the competition for prestige, however, lay a truly vital endeavor to secure the resources necessary for growth and progress. For the academic development of research universities, the most significant competition was for research-minded faculty.

The "boom" of the 1890's had several beneficial effects upon the academic profession. Young scholars with German or American Ph.D.'s could readily find positions in expanding faculties, and scholars with distinguished reputations suddenly found themselves in demand at other universities.<sup>21</sup> The change was perceptible to President James B. Angell of Michigan, who commented in 1892, "Whereas formerly it was rather rare that a professor was called from one institution to another,

<sup>21</sup>-----  
Geiger, op.cit., p. 11.





now the custom is very general."<sup>22</sup> There can be little doubt that one major cause of this new competition was the creation first of Stanford; and then, more significantly, of The University of Chicago. It is instructive to compare the initial faculty recruitment of Johns Hopkins with that of Chicago only sixteen years later. Of the six original Hopkins professors, only Ira Remsen of Williams and Basil Gildersleeve of Virginia were drawn from American professorships. However, The University of Chicago opened in 1892 with a faculty of 120, including 5 faculty members enticed from Yale and 15 drawn from Clark University. Hopkins was influential by the force of its example, but Chicago caused an immediate turbulence in the academic marketplace.<sup>23</sup>

The academic boom did not wane after Stanford and Chicago had filled their faculties, thanks to the numerous efforts of other institutions to keep up with the spreading competition for academic prestige. After The University of Chicago, none aimed higher or succeeded more brilliantly than Columbia. Frederick Barnard, Columbia's longtime president (1864-89), harbored a frequently articulated vision of the school's greatness. He believed the American version of a university, would grow naturally out of certain existing colleges. Columbia was uniquely suited for this transition by virtue of its location in the nation's largest and richest city.<sup>24</sup> This prophecy was realized by his successor, President Seth Low (1890-1901). A rather improbable figure to become a university builder, Low was a retired businessman without a

<sup>22</sup>-----  
The University of Michigan, President's Report, 1892, p. 22.

<sup>23</sup>Geiger, *op. cit.*, p. 11.

<sup>24</sup>William F. Russell (ed.), "The Rise of the University: The Latter Days of Columbia College," Annual Reports of Frederick A.P. Barnard (New York: Columbia University Press, 1937), pp. 339-386.

firsthand involvement in academic affairs except as a trustee. Perhaps for that reason he consulted his faculty extensively on assuming his post. Apparently he listened, too, because he immediately committed Columbia to goals that could hardly have been more congenial to research-minded faculty. Given the attractiveness of New York City, Low felt Columbia should seek out "the best man in the world" for any vacant position. He also wanted to guarantee professors "the time in which to make research," and he quickly took a major step in this direction by establishing paid sabbatical leaves. Low was equally dedicated to creating the facilities required for research: he personally contributed more than \$1 million to build the library that bears his family name, and he concerned himself as well with the development of its collections.<sup>25</sup> Low's presidency is most remembered for the reorganization of the disparate schools associated with Columbia into a coherent university (officially renamed in 1896) and for the relocation of the campus to Morningside Heights. However, he also fulfilled his commitment to build a prestigious faculty.<sup>26</sup> From just 34 professors in 1890, the faculty had grown to 134 by 1904. After the turn of the century, Columbia had clearly attained a position as one of the country's top research universities. At one time or another it was able to claim the largest number of graduate and professional students, the largest faculty, the second (after Harvard) most distinguished science

<sup>25</sup>-----  
 Columbia University President's Report, 1890, p. 10; Munroe Smith "The Development of the University," A History of Columbia University 1754-1904 (New York: Columbia University Press, 1904), pp. 199-266.

<sup>26</sup>Joseph Dorfman, "The Department of Economics," in R. Gordon Hosie et. al., A History of the Faculty of Political Science (Columbia University Press, 1955), pp. 176-177.

faculty, and the highest per-student instructional expenditures among the large universities.<sup>27</sup>

The primary reliance upon ad hoc individual philanthropy succeeded in the first two decades of the century in greatly augmenting the research capacity of these research universities. In the midwestern state universities, where this approach had less success, legislators had at least partly recognized the need to support some university research directly. In 1920, however, American universities faced considerable demands on their existing resources. A near doubling of price levels since the outbreak of World War I had squeezed budgets badly, and an enrollment explosion following the war greatly increased their teaching responsibilities. Research by this date was no longer a discretionary expenditure for this set of universities. Given the trends just indicated, however, it appeared unlikely that existing forms of research support could expand in step with the needs of science. In the preceding thirty years the American research universities had devised the basic organizational machinery to accommodate both teaching and research; yet, as they entered the 1920's, the funds needed to drive that machinery were by no means assured.

The experience of World War I, which had an emotional impact on the citizenry of the beleaguered European combatants, had a more cerebral significance for Americans who were far more fortunate in terms of its duration and distance. Nevertheless, the physical and emotional intensity of the American involvement accelerated the pace of social, economic, and cultural change in American higher education. The exigencies of war jarred individuals out of the trajectories of their

<sup>27</sup>-----  
Edwin E. Slossin, Great American Universities (New York: MacMillan 1910), pp. 473, 474-85.

anticipated life patterns, caused institutions to accept hitherto unimaginable arrangements, and spawned new organizations for previously unforeseen purposes. In the span of less than two years, individuals and institutions alike were subject to a richness and variety of experience that profoundly affected their perceptions and interpretations of the world in which they lived. In the longer term, however, the novelties and innovations of wartime had consequences that could not be predicted. Many of the specific agencies of the war mobilization were quickly deflated after the armistice. However, other wartime arrangements provided powerful precedents that persisted in the postwar world. These reactions were evident in the impact of the war on American universities. World War I induced a period of extraordinarily rapid technological development, but of more significance for American science was an even more rapid transformation in the general perception of science. To scientists, educators, statesmen, and the lay public, the role of research in winning the war symbolized the marriage of pure and applied science. Applied industrial research had already taken root before the outbreak of hostilities.

The mobilization of American science during World War I, had the enduring effect of bringing industry, foundations, and universities into closer cooperation; and of consecrating the direction of science policy to a private elite that represented the leadership of those institutions. The last stage of the war for the universities came in 1918, when the War Department essentially accepted the universities' many offers to make use of their facilities. Campuses were nationalized almost as completely as the railroads had been in order to provide training grounds for the Students' Army Training Corps (SATC). Thus, colleges and universities attained a direct relevance to the war effort;

but at a considerable price. Several conditions combined to bring about this situation. By the end of the 1917-18 school year, colleges and universities in general were in an increasingly desperate position. Enrollments were depleted by enlistments, and faculties were thinned by wartime service. The shortfall in revenues caused by the loss of students had put most institutional budgets far in the red. Furthermore, the emotional preoccupation with the war undermined those academic pursuits that still remained. At the same time, the War Department, having processed and assimilated the initial flood of volunteers, needed a more efficient manpower policy. In the spring of 1918, it began signing contracts with colleges and universities to house the training of technical military units. At the same time, it announced a reorganization of campus-based training into the Students' Army Training Corps. According to the original formula, able-bodied male students were to enlist in the Army and then be placed in a special status while they attended college and received on-campus military training. They were to go on active duty as soon as they either graduated or reached the draft age of twenty-one. The scare from the final German offensive in the summer of 1918, however, prompted a lowering of the draft age to eighteen. If directly implemented, this policy would have simply shut down most of American higher education, while also cutting off the future supply of officers and technical experts. To avert these contingencies, the SATC was completely reformulated from the start of the fall semester.

In 1919, when American colleges and universities reopened under something like normal conditions for the first time in three years, observers of the campus scene were struck by a significant development: there were far more students than anyone had expected. Contemporary

explanations for the increased popularity of going to college were ready at hand. The SATC had brought to college many young men who had not previously considered attending, and a significant number apparently remained to pursue a regular course. One explanation was that the wartime record of American colleges, had demonstrated the practical usefulness of college training; and that the mature and sober-minded generation formed by the war sought to capitalize on these opportunities. In fact, it turned out that postwar students rejected the burning seriousness of wartime campuses spontaneously and decisively. Also, the jump in enrollment levels soon extended to those who had not been affected by the war. The rapid rise in higher-education enrollments continued into the middle of the 1920's before finally tapering off.

By the time of World War II, federal grants had become a significant part of the university research system. Under pressure of the wartime emergency, Washington began to contract for massive amounts of university research. In 1943-44 the university contracts let by the Office of Scientific Research and Development were approximately triple the level of all prewar university scientific research.

By the first decade of the twentieth century, the country's leading universities had by and large embraced all of the major aims of higher education that had been contested over the preceding half-century. They now sought simultaneously and without a twinge of inconsistency to instill both liberal culture and modern science, to pursue both disinterested learning and practical knowledge, and to graduate bachelors of arts, aspiring professionals, and doctors of philosophy. Administrators who spoke for the institution as a whole grew adept at invoking whichever university ideal best fit the occasion and the audience. Faculty and



students pursued their particular tasks largely oblivious to the other facets of the enterprise. Thus, the twentieth-century research university came to exist on the basis of the "patterned isolation of its component parts."<sup>28</sup>

The division of the research university into a number of separate schools was part of a larger process of gradual administrative compartmentalization. The deans who were appointed to look after the affairs of these units constituted the beginnings of a new administrative layer between the president and the operating units of the institution. Soon their reports began to be printed after the president's annual report, thus reflecting this new reality. A more significant aspect of this phenomenon was the growing role of academic departments in the main schools of arts and sciences. Departments emerged in recognizable form in the 1890's as university presidents increasingly relied on their faculties to handle, among other things, the large annual turnover in junior-level appointments. This led to a developing standardization in American universities. In this regard, the founding of the Association of American Universities in 1900 is both a fitting symbol and a concrete embodiment of the emergence of twentieth century American research universities. The conference call that led to the founding of the AAU listed three important objectives: establishing greater uniformity in Ph.D. requirements, achieving foreign recognition of the American doctorate, and bolstering the standards of the weaker American universities. Thus, the creation of the AAU was a declaration by the leading American universities of independence and equality with regard to European universities; as well as an endeavor to guarantee the value of their product against "cheaper"

<sup>28</sup>-----  
Ibid.



foreign and domestic competition.<sup>29</sup> The prestige of these fourteen schools gave them great leverage over those developing institutions that wished to join this exclusive club.<sup>30</sup>

As a standardizing agency, the AAU first tended to regularize practices among current and potential members, but it soon extended its influence over American higher education in general. The initial annual meetings focused rather narrowly on issues relating to graduate degrees, but occasionally they broached fundamental questions like the amount of undergraduate education that should be required for entry into professional schools. It was easier for the members to agree on such practical matters as the publishing of doctoral dissertations, than on the latter type of issue. The AAU nevertheless provided a valuable forum where views could be aired, a consensus formed, and arguments garnered for later use at home. The presidents and deans who represented their universities at AAU meetings knew well the realities of American higher education, yet they consistently advocated a general strengthening of academic standards. This viewpoint became all the more important when the AAU was thrust into the role of an accrediting agency. As a result of a request from the University of Berlin, the AAU began in 1913 to compile a list of American colleges and universities whose graduates could be assumed to be ready for graduate study. Thus, the AAU began to officially exercise the leadership role that the

<sup>29</sup>-----  
 Association of American Universities, *Journal of Proceedings and Addresses* (hereafter JAAU), 1901; Veysey, *op. cit.*, p. 131.; George Weisz, *The Emergence of Modern Universities in France 1863-1914* (Princeton: Princeton University Press, 1983), pp. 260-263.

<sup>30</sup>JAAU 3, 1902 pp. 28-38.; JAAU 4, 1903, pp. 13-14.

research universities had clearly come to assume by the beginning of the twentieth century.<sup>31</sup>

The position attained by the research universities signified the existence of a new structure of American higher education. The success of the university did not totally eclipse the American college, and may well have been responsible for its indefinite survival either in freestanding form or as a component of the university. The colleges might still be recognized for the way in which they taught, but what they taught would increasingly be determined by the universities. Eventually, the highest achievement of the college would be to prepare its students for postgraduate study in one of the research universities. The strength in the new fabric of American higher education was owing to both the institutional warp of the research universities and the weave provided by the emerging academic disciplines. Changes in the organization of knowledge in the United States, in fact, were contemporary and coincident with the emergence of universities.<sup>32</sup>

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<sup>31</sup>William K. Selden, "The Association of American Universities: An Enigma in Higher Education," Graduate Journal VII (1968), pp. 199-209.

<sup>32</sup>Burton R. Clark (ed.), Perspectives on Higher Education: Eight Disciplinary and Comparative Views (Berkeley: University of California Press, 1984).

## CHAPTER V

### THE IMPORTANCE OF MANAGEMENT IN AMERICAN HIGHER EDUCATION

Higher education has been a part of American life since the founding of Harvard in 1636, but until recently access to college has been viewed as a privilege rather than as a virtual necessity or a nearly inalienable right. Until World War II, admissions requirements were minimal or unknown in all but the most exclusive institutions, and registration and records systems were designed for small numbers of usually easily taught students. Educators have realized that some selection and ranking of students is required to bring order to the process, and a system is needed to match students with professors and courses in ways that stimulate teaching and learning. College and university presidents have learned that the business of recruiting and admitting students, analyzing their curricular needs, establishing schedules of classes to meet these needs, and recording the academic progress of students requires expertise, dedication, and plain hard work. Registrars and admissions officers are recognized as professional educators. If the educational missions of seeking truth and transmitting knowledge are to be met, academic institutions need not only an educated faculty, reasonable classroom facilities, and good students -- but also adequate support services to admit, enroll, and keep records for students. To do the job at hand, good admission officers, registrars, and records administrators, who are knowledgeable

and effective managers, must be selected and trained. Professional resources must also be made available to them and to other administrators to assist in this educational process.

As research universities grow in size, they begin to develop into very large and complex institutions which look remarkably like large and complex businesses. Of course, that is not all they are; but by the measures of asset value, cash flow, size of staff, capital budget, litigation volume, investment activity, and labor relations, universities are indisputably big business practices.

It is essential that research universities understand how they are perceived in political and policy arenas, and govern their individual and collective actions accordingly.<sup>1</sup> Before a research institution begins to shape an academic strategy for itself, it should be sure that it is well managed. It needs to tighten up before it tries to reach out and move ahead. It needs to be certain it has adequate information on which to base decisions. It needs to be sure that there is quality in the teaching, research, and service it is currently providing. A research institution also needs to have the best people it can possibly get to carry out its intentions. No matter how devoted to strategy, no university can succeed without adequate data; without high-quality equipment, programs, and performance; and without talented dedicated personnel.

Registrars within research universities of today and tomorrow need to periodically take a step back and evaluate their place within their institution's total structure. This involves not just focusing on who reports to whom, but also on what purpose they are serving and what work

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<sup>1</sup>George Keller, Academic Strategy (Baltimore: The Johns Hopkins University Press, 1983), pp. 122-124.

must be done within the system to achieve their goals. Just as the colleges and universities are beginning to apply strategic planning as a management tactic to the business they are in; registrars need to follow suit by creating their own personal mission, goals, and objectives. George Keller adds to this issue in his book, Academic Strategy, The Management Revolution in American Higher Education, "What academic leaders using a management style are doing is turning to private plans based on data, explicit objectives, and rational strategies. Planning converts the implicit, inarticulate, and private into explicit, articulate, and public. It brings decision-making out of the closet."<sup>2</sup> In other words, registrars who can combine their own personal mission and objectives concerning management skills with that of their institutions can begin to direct an effective analysis of their role; and work toward a well-managed and guided institution of higher education.

Just as a university and its administrators can be plodding and contentious, they can be ambitious beyond their means or capability. Although, before presidents, registrars, admissions officers, etc. invest enormous amounts of time developing complex strategic plans; it would be wise for them to concentrate on good management. College and university management as a peculiar activity has elements of business, political, and even military management. What George Keller calls "management" in higher education actually has four main components, and management unfortunately is also one of the components. The four parts cannot be neatly separated, but they are somewhat distinct:<sup>3</sup>

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Ibid.

<sup>3</sup>Ibid.

1. Administration. In the United States college presidents and their aides are known as "the administration." They are expected to minister to the needs of the faculty and students, providing scientific equipment, residence halls, records of students' progress, sports and recreation programs, paychecks for the faculty and staff, and a suitable library, for example. Raising funds is part of administration; so is getting the mail in and out.

Administration is the provisioning and coordinating of activities for the principals of the campus: the professors, key staff, and students. Because it is vitally important, all presidents or chancellors spend at least half their time on administration; some spend nine-tenths. Institutions are frequently regarded as "good" if their administration is excellent: things run smoothly; the horticulture and buildings are attractive; the admissions program is aggressive but high-toned; the faculty are energetic, dutiful, and approachable; the library is well organized and the staff is helpful; the courses are well scheduled; the alumni program is first-rate; faculty complaints or suggestions are handled promptly, courteously, and appreciatively. Well-administered places are seen as efficient campuses, where limited funds are spent with maximum effect and with a taste and manner befitting a university that espouses the best in thought, art, and sensibility.

Campuses can take a great leap forward by doing nothing more than improving the administration of their current

operations. One genius at administration was Henry Wriston, the president of Lawrence College and then Brown University. His taste, devotion to quality, and concern for people led him to pay close attention to everything from the quality of food in the student cafeteria to the chemistry department's latest request for new equipment. His book Academic Procession is a valuable collection of sage advice to college administrators. Wriston believed, "Nothing that touches the life of a faculty member or a student should be alien to the interest or thought of the president... Good administration facilitates good education."<sup>4</sup>

2. Management. It is not enough to see that the academic machine is well oiled, synchronized, and responsive -- because the world changes as we walk on it. New threats arise. New opportunities for growth or funding appear. Advances in technology compel changes in information handling and delivery. Society becomes more scientific, religious, or rebellious. Governments become more friendly, or more suspicious toward higher learning. Departments stumble downhill in quality and programs become outmoded. New competition elbows in, pulling in a portion of an institution's students. Students plead for relevance and courses that are useful; parents and employers then demand a return to basics and courses that teach young persons to write, think, speak, and calculate well.

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<sup>4</sup>Henry Wriston, Academic Procession (New York: Columbia University Press, 1959), p. 151.

A university president, therefore, must also be a manager of change; a navigator who steers his or her institution through the treacherous channels of constant transformation. He or she needs to ask about each program every year: "Is this still worth doing?"; "What should we be doing now about higher education's likely developments?"; "What about tomorrow's academic necessities, as well as today's leaky faucets?"

While administration sees that things are done right, management sees that the right things are done. While administration seeks for efficiency in the present structure, management strives for effectiveness through an improved structure. The president, administrative officers, and the deans must foresee the future and the best of the new in order to direct the organization, in cooperation with leading faculty members. Management is the entrepreneurial element. It works to make things better and appropriately different. It seeks to raise productivity and keep the university at the cutting edge of new knowledge and new forms and content of academic service.<sup>5</sup>

Most important of all, the president must give direction to the college and devise the strategies, make the hard decisions, and allocate the resources that will support movement in that direction. As support for the direction, the president should play a direct part in selecting the key people for the institution and monitoring the performance of the various units. Naturally, this cannot be done alone.

<sup>5</sup>-----  
Keller, loc. cit.



In an organization comprised of many highly educated professionals with considerable expertise of their own, the president needs to encourage and help develop management skills throughout the institution, strengthen the deans and departmental chairpersons, registrar and admissions officers; and help each professional be his or her own planner and innovator. As one study found, "Innovative organizations are those which have mechanisms to infuse and stimulate ideas."<sup>6</sup> For registrars, this can be enhanced through the AAU Registrars and AACRAO. This involves keeping abreast through literature, visiting lecturers, conferences, and special trips. It means periodic retreats to evaluate, plan, and agree on strategies. It means encouragement for a rapid flow of ideas up and down the organization. The Office of the Registrar plays an active role in faculty and administrative relations. In academically strong universities, the faculty and administrators will usually be innovative and entrepreneurial. In weaker institutions, presidential coaching is imperative.

Management is the most neglected part of the contemporary college and university administration. Departmental chairpersons have a special difficulty with management because they often believe they are spokespersons for their colleagues in the department to the deans and "upstairs;" rather than managers of their departments' futures, innovativeness, and quality. Although the picture is changing fast, few administrative officers spend enough time on this part of their

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<sup>6</sup>Michael Aiken, Jerald Hage, "The Organic Organization and Innovation," Sociology V, (January 1971), p. 80.

task; and some spend almost none. One business executive told Dartmouth's James Brian Quinn, "If I'm not two or three years ahead of my organization, I'm not doing my job;" and others agreed.<sup>7</sup> More administrative officers need to think like that and double or triple their attention and energy to managing the organization's future.

Some observers contend that every campus president has his or her own interests and style, and must be allowed to pursue his or her particular agenda. Therefore, if some campus leader wants to administer and govern, but not manage or lead; that is up to him or her. This is very dangerous thinking, for it contends that stagnation and drift are acceptable in a time of turbulent external change; it implies that the future will take care of itself; and it suggests that quality education and long-term excellence are reached by serendipity. Presidents should, and do, stress those components of their position that fit their experience, interests, and temperaments. However, they cannot afford to neglect any of the four parts, least of all management, without damaging the institution. Peter Drucker believes that "managing the service institution is likely to be the frontier of management for the rest of this century."<sup>8</sup> Managing a university is certainly difficult work; and it is still a developing frontier for which the exact

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<sup>7</sup>James Brian Quinn, "Managing Strategic Change," Sloan Management Review XXI, (Summer 1980), p. 5.

<sup>8</sup>Peter Drucker, Management, Tasks and Responsibilities (New York: Harper and Row, 1974), p. 10.

patterns are yet being created. It is a task that no president can evade with the weak contention that it does not fit his or her personality.

3. Leadership. At any college or university, spirits can sag. At some campuses the mood is one of tiredness and complaint. As investigators have reminded us, people and organizations tend to run down. Presidents tend to wear out too. Henry Wriston claims, "Boredom is the bane of administration... I have known more presidents to suffer from that administrative disease than any other."<sup>9</sup> Duty replaces entrepreneurship; mere routine seems acceptable. So every institution needs a continuous stream of leadership to refresh itself, to remind itself of its goals and expressed intentions.

A president should supply the emotional injections that jolt faculty, students, and staff out of their tendencies to coast. He or she needs to hold out visions of potentialities and worthy objectives that motivate others to perform beyond the ordinary. Leadership is the poetic part of the presidency. It sweeps listeners and participants up into the nobility of intellectual and artistic adventures, and the urgency of thinking and feeling deeply about the critical issues of our time. Sometimes presidents do not quite have it: they are good administrators, managers, and governors of their republics of scholars; but poor writers and speakers. Maybe they had it early in their incumbencies, but have now lost it. Then, an academic vice-president, the chairman of the

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<sup>9</sup> Henry Wriston, Academic Procession (New York: Columbia University Press, 1959), p. 132.

board, or a few devoted members of the faculty will need to jump in to inject the spiritual force and reveal the dream in people's pockets.

Professor Mark Van Doren of Columbia stimulated scholars and furnished leadership for liberal education as others could not.<sup>10</sup> The University of Chicago's Robert Hutchins and Lawrence Cremin of Columbia's Teachers College are known as leaders; one almost spiritual about the great books and pure contemplation, the other dazzlingly intellectual about the new tasks of teaching and schools in an electronic age. A particularly winning example is that of Howard Lowry, who, as president of Ohio's Wooster College (1944-67), year after year through talks, baccalaureate speeches, articles, and addresses, gave fresh meaning to the purposes of higher education in a Christian setting.<sup>11</sup> The Reverend Theodore Hesburgh, a president for 30 years, has wedded moral values to intellect for many at the University of Notre Dame. Recently Father Hesburgh said, "Higher Education and every other enterprise moves forward when there is good leadership; otherwise, it stagnates. We need people with vision, elan, people who have standards and a certain toughness. Of course, you need money. But, if you have money and no vision, you just squander it."<sup>12</sup>

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Mark Van Doren, Liberal Education (Beacon Press, 1943).

<sup>11</sup>Howard Lowry, College Talks (Oxford: Oxford University Press, 1972).

<sup>12</sup>Fred Hechinger, "Hesburg Earned Respect the Hard Way," New York Times, October 13, 1981.

Leadership is that intangible ability to touch people's nerve endings and cause them to act. It is what a university president must provide, quietly or with fire in his or her breath, if he is to dignify the enterprise, awaken and excite the disparate faculty and staff into a united drive toward excellence, and defend the work of higher education with intense loyalty against unknowing or unappreciative assailants.

4. Governance. One thing that distinguishes the management of a college or university is that, unlike a business, military, or religious organization, it is a republic of sorts. That is, the faculty are political partners in the management of the vital heart of the enterprise, its academic portion. Campuses usually have faculty senates. Some have all-college or all-university senates, which include students and staff. These more inclusive bodies derive from the 1960's when there was a passion for participatory democracy with direct rule by "the people." However, a majority have already become vestigial since their purpose approximates that of the college's management -- but they lack an appropriate administrative staff.

A president absolutely must consult with, seek advice from, and be guided by his or her professors in anything pertaining to academic matters. The president should consult on matters that touch on the central teaching and research activities -- from admissions policy to industrial grants for the university. Just as a hospital administrator should not make medical policy without counsel and approval from most of

the chief resident physicians, so a college president must seek the concurrence of his or her professional colleagues. At the same time, the president or the dean of a college must remember that he or she is solely responsible for the quality of the unit. So the final word in a contested policy is with the president or dean, and in some cases with the trustees.

Governance today is deceptive. The old faculty senates are now ragged, poorly attended oratorical bodies in most cases. At some campuses, senior scholars have been forming new faculty councils to provide wiser, speedier consultation with the president, provost, and deans than the more inclusive, theatrical, and debate-oriented senates or all-college assemblies. At a growing number of campuses, presidents have recently forged a new kind of governance mechanism that contains representatives of the faculty, administrators, and perhaps students to help insure prompt deliberations and give wise advice on important matters.<sup>13</sup> This new mechanism has the special virtue of tying academic issues to finances and long-range plans, rather than raising academic issues in splendid theoretical isolation.

Campus management must somehow be tied to acceptable governance procedures. A university is a quasi-political body. Faculties have been known to vote, like parliaments, without confidence in their president. The current trend is for the balance of power to shift toward the president.

Faculties are becoming more interested in reviewing,

<sup>13</sup>-----  
Keller, op. cit., p. 127.

criticizing, and modifying policy than in making policy.

However in a knowledge organization where many faculty members often have more expertise in some areas than their management, the academic executives should not fail to share in some locally appropriate way the major decisions about academic matters.<sup>14</sup>

These four components of academic management are usually interwoven. Academic executives on any campus need to keep each of the four in mind, with special attention in the coming years to the most neglected component: management.

With astute analysis and participatory discussion, each faculty and its management can decide on an imaginative academic strategy for its competitive future, adjusting it as new conditions arise.

The position of the registrar, as an administrative officer within a research university, holds a major responsibility which includes providing service to both the administrative and academic needs of the institution. The registrar is expected to be a manager of administrative duties. Registrars need to stay well informed concerning present data within their office. They also must remain one step ahead on issues of the office's concern so the president, when requesting, can rely on the registrar's responses to be accurate and informative. The registrar must adapt to and perform various managerial functions. Registrars in major research universities must possess qualified skills in dealing with enrollment management, registration management, on-line management, and classroom space management. "Managerial effectiveness is based on the application of an appropriate managerial style to a

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<sup>14</sup>Ibid., p. 177.

given situation."<sup>15</sup> The registrar must wear a variety of managerial hats, analyzing operations, making appropriate changes, while maintaining service to the students as the number one priority.

The future will offer registrars new demands and realities that will challenge and require them to reexamine their roles and styles as managers. Communication skills will be an important aspect to the future registrar. Communication involves university administrators whom the registrar interacts with on a professional and transactional level; and communication also involves subordinates within the registrar's own office. "Good communication provokes thought; effective communication skills are critical for all managers in promoting cooperation and teamwork within the staff to ultimately provide better student services."<sup>16</sup> A registrar's administrative responsibility is to focus on serving student needs, which is accomplished by managing and motivating personnel within the office to assist the students by using all available forms of technology present on the students' behalf. The future will be a challenge for a registrar's leadership skills because of the continuing evolution of change in society, employee expectations, complex systems, procedures, decreased budgets, and changing attitudes. Managing for the registrar is not a passive, but an active behavior with an objective. The managing registrar must plan, design, analyze, evaluate, coordinate, and facilitate. The registrar is responsible for seeking and pursuing changes, while maintaining a historical perspective of the past status and office.

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 Sarah A. Haddad et. al., "New Management Techniques for the 1980's," College and University. LV (Summer 1980), pp. 363-364.

<sup>16</sup>Ibid.



## CHAPTER VI

### CONCLUSIONS AND RECOMMENDATIONS

The Office of the Registrar in a major research university is, among other matters, primarily concerned with information, quality, and people. When one looks for an administrative process that will liberate the potential existing in the future role of a university registrar, the approach suggested by Dr. George Keller in his book Academic Strategy delineates some possible guidelines for action.<sup>1</sup>

Dr. Keller writes that "It is important for key administrators to have a superb grasp of the internal movements of their campus. Improving the management information system is, therefore, an indispensable step in improving the everyday operation of the campus; as well as a requisite for strategic planning. Information about what exactly is going on within a college or university is still underdeveloped at numerous campuses."<sup>2</sup> Though things are improving fast, institutions of higher education tend to be backward about gathering useful information about themselves. Outsiders find this peculiar given academia's thirst for data and knowledge.

Management information systems require decisions on what pieces of data are vital for excellent decision making. A task force is a useful approach to gathering such information.

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<sup>1</sup>George Keller, Academic Strategy (Baltimore: The Johns Hopkins University Press, 1983).

<sup>2</sup>Ibid., pp. 131-132.

As for information about students, it is both superb and astonishingly meager. What is superb are the data on characteristics, abilities at entry, rates of dropout, financial help, and the like. What is meager is the information in two areas: one is market research and analysis of students; the other is that of student outcomes. Since the main "product" of a college is the refined student who was once raw talent, institutions should be collecting good statistics on what the value-added achievements are.<sup>3</sup>

### Conclusions

The four components of administration, management, leadership, and governance need to be employed in order to elicit fresh efforts on these items. In turn, improvements in information, quality, and people make the execution of each of the four components easier. For example, forward-looking management is easier with innovative scholars and an enterprising staff; so is administration and governance. Furthermore, the demands for prodding and urging action from leadership are lessened.

There are also political reasons to concentrate on information, quality, and people before attempting the wrenching experience of devising an academic strategy. Within strategic planning, planning and implementation should be concurrent, not divorced. If they are done in two entirely separate steps, plans tend to go unused by unconvinced or wary officers. Planning should ooze out of meetings and encounters almost unnoticed; and parts of any strategy should be championed by the very people who will need to implement it. That is, a college's or university's leading people need to be psychologically prepared for faster change, for new ventures, for zesty initiatives, and should be

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<sup>3</sup>Ibid.

involved in the creation of a strategy. The powerful centers of political resistance to adaptation to new realities need to be neutralized or, if possible, convinced of the urgency of altering their attitudes. A consensus needs to be hammered out for a new kind of forward movement so that the seeds of strategy fall on fertile soil.<sup>4</sup>

James Brian Quinn, in his book and articles summarizing how several of the best corporate executives manage strategic change, reported that they "artfully blend formal analysis, behavioral techniques, and power politics," and they "consciously and proactively move forward incrementally."<sup>5</sup> They set up good formal and informal networks to get accurate information, not just the favorable data and news that their aides tend to give out. They keep pressing for better quality, growth, new approaches, and greater efficiency. They search for outstanding persons, both within and outside, for their organizations.

In colleges and universities around the country, there is a similar approach among the best academic leaders. They are careful to multiply awareness through such devices as enrollment projections, technological forecasts, and financial likelihoods in laying solid groundwork for more concentrated planning efforts. Quinn observes that numerous people have spoken of the "cognitive limits" to long-term planning. However, he says, "Of equal importance are the process limits — that is, the timing and sequencing imperatives necessary to create awareness, build comfort levels, develop consensus, and select and train people — that constrain the system yet ultimately determine the decision itself."<sup>6</sup>

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<sup>4</sup>Ibid., pp. 129-134.

<sup>5</sup>James Brian Quinn, "Strategies for Change" Logical Incrementalism (Irwin, 1980).

<sup>6</sup>James Brian Quinn, "Managing Strategic Change," Sloan Management Review, XXI (Summer 1980), pp. 3-20.

Also, while strategic planning can be scoffed at, it is much more difficult to argue against improvement in the existing operation. Nearly everyone will agree that new financial, demographic, and competitive factors require that every dollar be used more effectively; that every unit operate with greater quality; that only the best people be rewarded, promoted, or selected from outside; and that the institution have thorough information about itself and the external environment in order to pinpoint internal strengths and weaknesses and alert people to emerging external conditions. Quinn found that among strategically oriented corporate executives, "beginning moves often appear as tactical adjustments in the enterprise's existing structure. As such, they encounter little opposition."<sup>7</sup> For the faculty, or administrators it is especially awkward to take stands against stronger information about one's institution and societal trends, greater quality, and better appointments.

A leading proponent for reform in this area is Alexander Astin of U.C.L.A. To Astin, "A high-quality institution is one that knows about its students... Further, the high-quality institution has a method for gathering and disseminating this information, enabling it to make appropriate adjustments in programs or policies when the student data indicate that change or improvement is needed."<sup>8</sup> In other words, quality is equated here not with physical facilities or faculty credentials; but rather with a continuing process of critical self-examination that focuses on the institution's contribution to the student's intellectual and personal development.

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<sup>7</sup>Keller, loc. cit.; Quinn, Managing Strategic Change, p. 7.

<sup>8</sup>Alexander Astin, "Proposals for Change in College Administration," Maximizing Leadership Effectiveness (ed.) Rita Scherrei (San Francisco: Jossey-Bass, 1981), p. 162.



According to Astin, "Universities must monitor what they get paid to do. It is irresponsible for an institution's faculty and administrators not to know what the students are learning, what impact the college is having, and what suggestions the students have for change."<sup>9</sup> Astin, incidentally, dissents on the direction of most current education planning. In his view, "Planning should focus not on a more prestigious faculty, new buildings, more money, or greater research, though these are important, but on improvement of the education process for the paying students."<sup>10</sup> Astin says with enrollments going down and costs up, he would invest in absolutely first-rate undergraduate learning.<sup>11</sup> He would concentrate on excellent student services, superb teaching, and rigorous studies so that a college has a great number of highly satisfied customers and a steady stream of superbly trained young people. He believes that parents would love a place where young students receive lots of attention and learn more than they thought they could. Such a campus would have great word-of-mouth advertising, and that is the best marketing and competitive strategy.<sup>12</sup>

Information. Central to any such campus is a careful monitoring of student time, activities, and outcomes for improved information about a student's educational progress.

Three other areas for improved information are cross analyses of educational data and cost data, trends about the environment outside the institution, and facts about chief competitors. The first, cross

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<sup>9</sup>Ibid.

<sup>10</sup>Ibid.

<sup>11</sup>Ibid.

<sup>12</sup>Ibid.

analyses, is especially urgent, when there is a financial crunch.

Information such as per student costs per academic program is essential for decision making. The need for better information about the environment is also growing fast. Victor Baldrige believes that "Most change in higher education today comes from external pressures and shifts."<sup>13</sup> He maintains that universities need to create an information capability for the outside happenings affecting higher education nearly as complete as their present institutional research operations for internal affairs. Since much innovation at any college is purloined from other colleges, he stresses that a campus should work harder to get information on the best new additions at other comparable institutions. Good information not only facilitates more rational decision making; it also motivates toward more strategic decision making.<sup>14</sup>

Quality. Promoting quality can also be stimulating. Although it can be threatening to the less able and less productive faculty members and administrators, raising quality at a university is a movement hard to oppose. Thus, it is an area that academic and administrative management can and should pursue.

Nearly everyone in higher education agrees that academic and administrative quality within a university will be of great concern in the next decade or two. In a time of enrollment growth, access is the key word; but in a time of enrollment decline, at least in the traditional 18-to-22-year-old category, competition increases; and schools that give great intellectual value and superior training for their tuition will fare best. Quality throughout a college's operations

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<sup>13</sup>Keller, loc. cit.

<sup>14</sup>Ibid.

is, therefore, a condition of survival and a must for academic and administrative management.

Administrative officers must assist the faculty with the task of instilling quality throughout the institution. As an example, the Office of the Registrar is at the center of various administrative and student and faculty activities. Registrars must begin to monitor the quality of their office's structure, service and employees. The quality of the Registrar's Office can have a large affect on the institution's quality. The Office of the Registrar many times is the only office on campus where the faculty and administration must meet to complete necessary institutional tasks; establishing and enforcing academic programs, scheduling courses, and distributing grades. Strategic planning within the office to improve the quality would include the registrar's involvement by first asking how each category (structure, service, and employees) can contribute to the institution's image? The registrar's managerial responsibilities include identifying any areas for improvement within the office: Are the students receiving the personal, individual attention they deserve when they are present in the office? Are the employees who serve these students well informed of office procedures and policies and familiar with the reason these procedures and policies must be enforced? Are the employees satisfied with their jobs? Does this satisfaction shine through when employees encounter faculty, students, or the general public?

In this process of building new levels of excellence a tone is set, aspirations are raised, and the foundations for strategy are laid. As James Brian Quinn found: "Successful managers... build the seeds of understanding, identity, and commitment into the very processes that create their strategies. By the time the strategy begins to crystallize



pieces of it are already being implemented... Constantly integrating the incremental processes of strategy formulation and implementation is the central art of effective strategic management."<sup>15</sup>

To pursue quality, a president and the rest of administrative and academic management should see that the entire institution speaks of taste, care, and thought to a visitor or enrolled student. The signs around the campus ought to be clear and handsome, not a hodgepodge of bad typography. The admissions office must not have art reproductions on the walls like those in cheap motels, hospital-green paint, and a gum-chewing receptionist. A few departments cannot be allowed to remain known as weak spots, offering "easy-grade" courses to keep enrollments up. The alumni magazine ought to be first-rate. Henry Wriston once said "Since nearly every undergraduate complains about the food, there is no cheaper, more direct way to improve morale and gain good word-of-mouth publicity than serving up exceptional food in attractive, well-run dining halls -- especially since friendships and romances often bloom there and discussions of Hazlitt's prose, Brecht's dramas, Thomas Sowell's economics, or the role of genes in human behavior take place over bean sprouts or warm bagels."<sup>16</sup>

Quality cannot be imposed. It must be elicited. Lack of quality, however, should be sternly dealt with. Universities need to concentrate on work and results, and their quality. As Peter Drucker emphasizes for executives, "relations must be task-focused rather than personality-focused."<sup>17</sup>

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Quinn, Strategies for Change, p. 145.

<sup>16</sup>Henry Wriston, Academic Procession, p. 151.

<sup>17</sup>Peter Drucker, The Effective Executive (New York: Harper and Row, 1967).

Two methods of eliciting quality have often proven especially effective. One is incisive questioning. Managerial questioning needs to show real curiosity. For instance, a registrar can meet with his or her administrative support group and ask, "What are you doing about the expected 10 percent drop in early registration? How are you handling the swelling demand for 24 hour transcript turnover? Are you satisfied with the performance of everyone on your staff? Is the Admissions Office cooperatively working with the records department of the office?" A great strategy involves the registrar asking for a short paper in 30 days with proposed initiatives from his or her support group, especially one that suggests steps the departments should be taking to help the office maintain high efficiency concerning recording procedures. In such encounters quality is raised, management improved, and strategic thinking begun.<sup>18</sup> Another effective method for eliciting quality is through soliciting suggestions concerning improvements aimed toward higher quality in all departments. Employees' suggestions taken seriously forces them to think methodically about the subject and discuss it; it lets them know you care for both quality and their ideas about how to reach higher levels of performance. This is becoming a more popular method because of its use in some Japanese corporations where the entire staff is said to be encouraged to help the management improve quality. The Japanese have made great leaps in quality since the early 1950's when "Made in Japan" meant cheap and shoddy. Charles Kepner, a management consultant, recently reported to a group in Baltimore that in 1980 at the Toyota Motor Company 38,757

<sup>18</sup>-----  
Keller, Academic Strategy, p. 135.

employees made 859,039 suggestions, about 90 percent of which were useful.<sup>19</sup>

One of the people who brought quality to Japanese industry is W. Edwards Deming, a statistics professor from New York University. There is a quality-control prize in Japan known as the Deming Award now given annually to honor this prophet of quality. Deming says, "If anybody needs quality control, it's the service industries -- including universities. College presidents, like most executives, fail to see that improving quality is their main business. We are in a new economic era. Quality is the key to higher productivity because approximately 20 percent of the cost of things, from automobiles to college educations, is a charge for waste."<sup>20</sup> Deming's procedure is simplicity scrubbed: "Locate the shortcomings or defects, scrutinize them, trace the sources of the problem, make corrections, and then record the new results. So, if the engineering students lack adequate mathematical skills, or if alumni annual giving is very low..."<sup>21</sup>

Of course rewards help, both monetary and nonmonetary, as when thoughtful notes are sent to faculty for articles published, or when troubled students are made comfortable at registration. So do nonthreatening teaching workshops for stale or dull instructors, and dozens of other devices. Whatever the preferred methods, quality must be attended to, both for good management and as preparation for

<sup>19</sup>-----  
Ibid., p 135.

<sup>20</sup>Richard Miller, "Appraising Institutional Performance," Improving Academic Management (eds.) Jedamus and Peterson, pp. 422-423.

<sup>21</sup>Ibid.



planning. The alternative may be a quality audit by the new state board of higher education, which states like New York, Louisiana, and Illinois have instituted.<sup>22</sup>

People. Andrew Carnegie is said to have ordered for his tombstone: "Here lies a man who knew how to bring into his service men better than he was himself." Every university search committee should have that message in its packet of instructions. There is no more important task than selecting people for positions at a college or university. Bright, energetic, flexible men and women who care about ideas, research, and the spread of culture and learning not only add immediately to the good functioning of a campus; but they facilitate the task of institutional transformation and renewal for the future. Such extraordinary persons are less inclined to be defensive and argumentative about change, though they are inclined to be slightly more territorial than those with less of a domain of accomplishment to protect.

Presidents themselves must take a strong interest in all key appointments; and the provost or academic vice-president must be meticulous about tenure approvals and administrative appointments. Though faculty departments make recommendations for promotion and tenure, the evidence is overwhelming that, except in the exceptionally well-disciplined departments, the professors are far too tender-hearted toward their colleagues. They have little stomach for nonapprovals. Many deans are almost as weak. The hurdle for tenure should be: Is there anyone in the nation better qualified than this man or woman who would be willing to teach at this level, at this institution? If there

<sup>22</sup>-----  
Ibid.

is, tenure should not be granted. Decisions in academic administration must be handled in such a manner: Will this decision help the college or university? Does the administrative action being considered only welcome bureaucratic tie-ups? This is tart medicine. A good college or university should not be permitted to be a home for the amiable, or an employment bureau. Academic executives must care for people, but they must care more for attaining and/or preserving a standard of quality of academic life.<sup>23</sup>

President Cyert of Carnegie-Mellon says "One of a manager's most important and time-consuming tasks is judging people. Like most managers, I think I'm an excellent judge of other human beings. Yet I estimate I haven't beaten random chance by much in my appointments."<sup>24</sup> A decisive difference between the noted colleges and universities and the less-noted ones is the attention they pay to the selection of their people; from the landscaping chief, cooks, and technicians to the art curator, resident poet, and chairman of the physics department. While mediocre campuses have a faculty that reads the best books and articles, the best campuses have a faculty that takes pains to correspond with and get to know the scholars who produce them.<sup>25</sup>

One of the most dramatic success stories in American higher education is the rise of Stanford University between 1955 and 1975 to a campus of world eminence. It is a fascinating story of daring,

<sup>23</sup>-----  
<sup>23</sup>Keller, loc. cit.

<sup>24</sup>Ibid.

<sup>25</sup>Richard Cyert, "Does Theory Help?" Wall Street Journal, April 7, 1980; Keller, loc. cit.

toughness, ingenuity, fund raising, great leadership (as late as 1967 Stanford had no faculty senate), a treasure hunt for good people, and brilliant strategy.<sup>26</sup> The strategy had three prongs. The largest and central one was to recruit over several years 150 of America's finest minds for Stanford. The second prong was a sequenced emphasis on first those areas where Stanford had a comparative advantage (engineering and physics); next the social studies; then the humanities, stressing graduate work and the professional schools. The third prong was massive fund raising to provide facilities, equipment, and attractive housing to lure the talented scholars.

The genius in the drive under President Wallace Sterling was Provost Fred Terman, the former dean of engineering who not only inspired "Silicon Valley" and helped bring hundreds of millions of dollars in federal research grants to Stanford; but also was a tenacious hunter and recruiter of outstanding people for his deans and faculty. When a new professor was being considered, Terman made exhaustive investigations. He often visited the person's campus to examine his or her career and work on the spot. He urged departments to make lists of the ablest people in their fields and try to tell them about Stanford. As Terman recalled in 1979, he had to "show our department heads how to recruit faculty, and also graduate students. Sometimes the deans, too, did not know how to get the best men... When I became provost, few members of the faculty had national reputations, nor was there anybody who was a member of the National Academy of Sciences. Today there are 64 members of the Academy."<sup>27</sup>

<sup>26</sup>-----  
Donald Stokes, "The Sterling Tough: How Stanford Became a World Class University," Stanford Observer, November 1979, pp. 1, 3-4, 6-8.

<sup>27</sup>Ibid., pp. 7-8.

With precise information; real quality in most parts of the institution; and a nucleus of gifted, innovative people -- the work of shaping an academic strategy can begin.

According to Keller, there are six features that distinguish strategic planning from such predecessors as systems analysis, incrementalism, management science, long-range planning, and doing what you have always done.<sup>28</sup>

1. Academic strategic decision making means that a college, school, or university and its leaders are active rather than passive about their position in history. To be strategic is to take positive, vigorous steps.

Colleges tend to be extraordinarily docile before the forces that affect them. There is little reason for this docility and perennial grumbling except the dogma that institutions of higher learning do better if they go unmanaged, muddle through incrementally, and remain superciliously aloof but verbally persistent about public and private support for their learned labors. Yet nearly all the finest colleges and universities were actively pulled into eminence by vigorous strategic leadership. Andrew White, Daniel Coit Gilman, and William Rainey Harper aggressively designed new houses of learning at Cornell, Johns Hopkins, and Chicago. Charles Eliot and Nicholas Murray Butler tugged and shoved their classical, local colleges (Harvard and Columbia) into the modern world of science, social science, and research -- and attracted students nationally and internationally. Frank Aydelotte lifted a little Quaker campus into a high-powered Swarthmore. John A.

<sup>28</sup>-----  
Keller, loc. cit.



Hannah transformed an aggie college into an important university -- and at one time he had the second largest number of National Merit finalists at Michigan State because of his opportunistic nationwide recruiting for them. Herman Wells lifted Indiana University close to the top ranks.

To think strategically is to look intensely at contemporary history and the institution's position in it; and to work out a planning process that actively confronts the historical movement, overcomes it, gets on top of it, or seizes the opportunities latent in it. A campus with an academic strategy has a battle plan to get stronger and better in the teeth of historical conditions. It skillfully reads the face of history (or to change disciplines, the ecological environment) and then devises a scheme to survive in it and transcend it.<sup>29</sup>

2. Strategic planning looks outward and is focused on keeping the institution in step with the changing environment. This is strategic planning's single most important contribution to organizational decision making. For decades most colleges and universities have been inner-directed; formulating their aims on the bedrock of their own religious commitments, traditions, faculty desires, and ambitions for growth -- and largely ignoring the world outside. The language in the college catalogues still reflects that narcissism and disregard for market conditions and external forces: "Jove College has since its founding been devoted to..."; "You will be part of our distinguished tradition that..."; "The unique mission of Buena State has never wavered."<sup>30</sup>

<sup>29</sup>-----  
Ibid., p. 144.

<sup>30</sup>Ibid., p. 145.

But perhaps three-quarters of all change at most institutions of higher learning is now triggered by outside factors such as directives from the state board of higher education, an economic recession, migration patterns, a change in the supply of gasoline, the wider use of records and cassettes, a governor's change of politics, a new law from Washington, a sweeping court decision about a major affirmative action case, and the shifts in the job markets. The more aware institutions have realized that, and have moved swiftly to improve their data collection and monitoring of the society external to their campus gates. They are becoming other-directed, to use the labels from David Riesman's 1950 sociological study of our changing national character, The Lonely Crowd. Colleges are switching from a self-assertion model of their existence to a biological model of continuous adaptation to their powerful, changing social environment.<sup>31</sup>

An academic strategy asserts that neither willfulness or acquiescence to the fashions and temporary external conditions is an appropriate course. Rather, a university's own directions and objectives need to be shaped in the light of the emerging national situation and new external factors; as well as the perennial needs of youth, truth, and intelligence. Because the external environment is in constant flux; strategic planning must be continuous, pervasive, and indigenous -- not a blueprint or the work of a planning officer, or a one-time experiment at some mountain retreat. F. Scott Fitzgerald wrote in 1936, "The test of a first-rate intelligence is the ability to hold

<sup>31</sup>-----  
David Riesman, On Higher Education: The Academic Enterprise in an Era of Rising Student Consumerism (San Francisco: Jossey-Bass, 1980).

two opposed ideas in the mind at the same time, and still retain the ability to function." While an institution's own hopes and the outside forces of history are not exactly "opposed;" anyone planning strategically for a college, school, or university needs to keep two incongruous bodies of facts and ideas (internal aspirations and external conditions) in mind at the same time and act to move the institution ahead nonetheless.<sup>32</sup>

3. Academic strategy making is competitive, recognizing that higher education is subject to economic market conditions and to increasingly strong competition. This is the most recently added, and least developed, piece to academic strategy thinking. It will be a vitally important one in the stringent period ahead, with too many colleges and universities chasing a dwindling number of students. Military strategy is, of course, competitive; with a specific enemy, potential enemies, or unfriendly neighboring countries.<sup>33</sup> The U. S. business firms also have to think competitively. Most politicians constantly think of competitive ploys and short-range strategies.

Astonishingly, colleges and universities have until recently seldom thought in competitive terms; except in obvious ways. Private or independent colleges compete with public or state colleges. An old state university may resent the rise of a second, new state-supported university. However, a deep awareness of the market for higher education or one's own market segment frequently has not been

<sup>32</sup>-----  
F. Scott Fitzgerald, The Crack Up, (ed.) Edmund Wilson (New Directions Books, 1956), p. 69.

<sup>33</sup>Carl von Clausewitz, On War (trans.) M. Howard and P. Paret, (Princeton University Press, 1976).

developed. State universities and colleges, for instance, have almost totally ignored the spectacular multiplication of community colleges in their areas as a new factor in the market.

This is surprising because if there is anything that distinguishes American higher education from that of all other countries, it is the vast number and variety of institutions of higher learning. As long ago as 1870, there were more institutions in the United States awarding bachelor's degrees, more law schools, and more medical schools than in all of Europe combined.<sup>34</sup> Ten years later, President Frederick Barnard of Columbia wondered how England, with a population of 23 million, managed with only four degree-granting institutions; whereas the state of Ohio, with a population of only three million, supported 37 colleges and universities.<sup>35</sup> And Max Weber observed in 1909, after his visit to America, "The constitution of American universities and much else about them is affected by the fact that American universities, to an even greater degree than the German, are institutions which compete with each other."<sup>36</sup> Yet, somehow, the little competition that existed has been muted and is certainly non-strategic.

The reason the 3,100 American colleges, universities, schools, seminaries, and institutes have not been strategically competitive until the past few years is that the market for higher education has been expanding almost uninterruptedly since the Civil War; even through the

<sup>34</sup>-----  
 Burton Bledstein, The Culture of Professionalism: The Middle Class and the Development of Higher Education in America, (Norton, 1976), p. 33.

<sup>35</sup>Ibid.

<sup>36</sup>Max Weber, On Universitism (ed.) trans. Edward Shils (University of Chicago Press, 1974), p. 25.

depression of the 1930's. Abundance breeds magnanimity. It is scarcity that draws out competition and combativeness. Now higher education faces scarcity. The number of colleges closing is accelerating. Between 1960 and 1969, 95 colleges closed; between 1970 and 1979, 135 colleges ended their lives.<sup>37</sup>

Therefore, it is logical that comparative advantage has suddenly become a major new interest in higher education. What strengths and advantages over other colleges and universities do you possess that your competition does not? Here is how Carnegie-Mellon president Richard Cyert explained it to the learned audience at an American Council on Education workshop in October, 1981:<sup>38</sup>

The planning unit must determine what its comparative advantages are. Comparative advantage means comparative to other departments, colleges, or universities with which that unit is competing. We must face the fact that colleges and universities are in a competitive market.

Comparative advantage may stem from a location. It may be based on particular strengths in the organization that have developed over the years, or may be based on a particular person or group of persons who have flourished at the institution. It may be based on the historical traditions of the organization.

The point is that there are some elements which the school can build on to create an organization that has, if not unique characteristics, special characteristics that only a few can match. The aim of strategic planning is to place the unit in a distinctive position.

4. Strategic planning concentrates on decisions; not on documented plans, analyses, forecasts, and goals. Strategic planning is action-oriented. It constantly asks: What shall we do? How shall we decide? Where do we put our attention and energy? It especially

<sup>37</sup>-----  
Digest for Educational Statistics, 1981, (National Center for Educational Statistics, 1981), p. 116.

<sup>38</sup>Keller, loc.cit.

emphasizes the allocation of resources, asking how shall we decide how to spend our money and employ our people, buildings, and equipment? It has revived the Charles Hitch invention of the planning, programming, and budget system, because PPBS so neatly links strategies, university programs, and the operating and capital budgets. Strategic planning spends on what it believes; and what it believes derives from the academic strategy to advance the institution. Strategic planning is people acting decisively and roughly in concert to carry out a strategy they have helped devise.<sup>39</sup> Registrars especially must understand that strategic planning concentrates on decisions and is action-oriented.

Neither systems analysis nor traditional long-range planning nor management science nor incremental confusion is decision-oriented. Rational analytical planning is keen on the right approach, the proper concept, the factually rich analysis. However, the decision to implement or to act upon the rational plan is left as a separate matter for the more political decision makers. Incrementalism is keen on reasonable compromises, on tradeoffs that provide the least acrimony. It wants controversies resolved, differences lessened. It seeks immediate harmony, not long-range excellence. It avoids decisions that are consciously made and sometimes unpopular, but necessary for long-term health or new levels of quality or prosperity. Incrementalists prefer to "arrive at" a position; they tend to duck from the hard choices. Strategic planning is more surgical. After careful analysis and discussion, and using experience and prognoses, strategists decide to cut, amputate, graft, inflate, or strengthen with injections

<sup>39</sup>-----  
Ibid.

of new blood or vitamins. For strategists, the decision is the thing.<sup>40</sup>

5. Strategy making is a blend of rational and economic analysis, political maneuvering, and psychological interplay. It is, therefore, participatory and highly tolerant of controversy. Just as the finest scholars blend facts, interviews, historical wisdom, comparative analyses, insights, and bold speculation in their depictions of a situation; so collegiate strategies combine computer modeling, favorable and unpleasant facts, research, discussions among many people, market and competitive analyses -- and large spoonfuls of ingenuity, judgment, and daring to come up with a course for the institution's future. Strategic action recognizes that human nature is a combination of intellect, power plays, and emotions such as fear, envy, anger, compassion, greed, and desire for purpose and meaning. So, it gathers the best information and forecasts; struggles to overcome political jealousies, inertia, and sabotage; and builds psychological awareness and commitment. Unapologetically, it marries rationality and artfulness, financial facts, and politics. Good timing is essential for the sequencing of these; and for capitalizing on a sudden retirement or death, a budget crisis, or a competitor's sharp decline in leadership or quality.<sup>41</sup>

Because the politics and psychology are important, strategy making must be participatory, though not in a wide-open way. Several colleges have tried the Athenian forum approach, with disastrous results.

<sup>40</sup>-----  
Ibid., p. 148.

<sup>41</sup>Quinn, op. cit., pp. 3-20.

However, most of those with management responsibilities on campus need to be part of the meetings and deliberations. Nor should strategy making be done without an agenda or persistent pressure for decisions. Factual background materials, environmental reports, forecasts, and financial likelihoods are imperative to pull people away from their own concerns, viewpoints, and emotional preferences toward the larger world of historical, economics, and educational reality, and institutional purpose. Executives can guide the discussions, and must keep pressing for decisions that benefit the whole institution. Politically, most of the key people need to be on board the strategy train when it leaves the station. Participation is imperative. There need not be a full consensus. To encourage participation in strategy formulation among academic leaders, registrars and other administrative officers need to have a high tolerance for argument and controversy. The innermost feelings and wildest thoughts of principals should be permitted to slip out. If the emphasis is clearly placed on facts, important concerns, ideas, honest doubts, and imaginative initiatives -- and not on personalities; everyone gradually realizes that it is the institution's strategy and welfare that is the issue, not each other's reputations. In his book Men Who Manage, Melville Dalton wrote, "Conflict is typical... We are currently so busy hiding conflict that we quake when we must simultaneously deal with it and pretend it doesn't exist." As Dalton says, "Perpetual harmony is alien to all life," and, "Conflict and cooperation are usually intermingled in all advances, especially in democracies."<sup>42</sup>

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Melville Dalton, Men Who Manage (Wiley, 1959), pp. 263-264.



6. Strategic planning concentrates on the fate of the institution above everything else. In Three Thousand Futures: The Next Twenty Years in Higher Education, Clark Kerr and his staff discovered a fascinating fact:

Taking as a starting point 1530, when the Lutheran Church was founded, some 66 institutions that existed then still exist today in the Western world in recognizable forms. (These are) the Catholic Church, the Lutheran Church, the parliaments of Iceland and the Isle of Man, and 62 universities. Universities in the past have been remarkable for their historic continuity... and have come out less changed than almost any other segment of their societies.<sup>43</sup>

Universities in Western Europe have had extraordinary staying power. Many of America's earliest colleges are also still alive and well. Colleges and universities clearly have won a special place in Western society as an indispensable institution, one worth guarding and fighting for as one would a religion or a parliament. The changes within those venerable institutions have been many and radical, but the organizations of learning themselves have endured in recognizable form. The great British observer of America, James Bryce, once remarked that "a university should reflect the spirit of the times without yielding to it."<sup>44</sup> Institutions of higher learning have done just that, although not always very promptly. The endurance of universities is truly a remarkable fact about Western civilization.

Strategic planning places the long-term vitality and excellence of a college or university first. It cares about traditions, faculty salaries, and programs in Greek, agriculture, and astrophysics.

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<sup>43</sup>Clark Kerr, Three Thousand Futures: The Next Twenty Years in Higher Education, (San Francisco: Jossey-Bass, 1980).

<sup>44</sup>Keller, loc.cit.

However, it cares about institutional survival more, so that there will be places for scholars of Greek, agriculture, and astrophysics to teach and do their research. Scholars cannot easily hang their shingle out like physicians or architects. They need a universitas. In medieval times, universitas and societas meant a body of people operating as a single person; both words were used to designate the medieval guilds.<sup>45</sup> Professors still need to unite as a universitas.

Surely there are colleges and universities that are marginal in quality, or that should never have been started, or that have lost their flavor and reason for being. Not every existing institution of higher learning will, or should, survive the 1980's, or the twentieth century. According to a 1981 study of the National Association of College and University Business Officers, fewer than 50 of America's 3,100 colleges and universities have endowments of \$100 million or more, and fewer than 200 have an endowment larger than \$10 million. Nine out of ten institutions in the United States, therefore, are precariously financed, and many live at the brink of jeopardy and instant retrenchment. Yet the older and the superior campuses deserve to live on. And America needs a rich variety of higher education institutions to help preserve pluralism and freedom of choice. Strategic planning attempts to keep an eye on the long-run viability of these institutions. Since the fundamental aim of strategic planning is a Darwinian one of linking the forward direction of an organization with the movement of historical forces in the environment, the two critical areas for analysis are one's own organization and the environment. It is necessary to look inside

<sup>45</sup>-----  
John Baldwin, The Scholastic Culture of the Middle Ages, 1,000-1,300 (Heath, 1971), p. 22.

and outside. In short, you need to know what your college or university can or cannot do, and what it wants to do.<sup>46</sup>

### Recommendations

This study indicates that the mission and guidelines statement of the Association of American Universities' Registrars has historical purpose and is germane to providing understanding and direction to the relationship between the registrar and his or her respective AAU institution. The AAU Registrar Mission and Guidelines statement is listed below:

- A. That continuing efforts be directed to enhancing the professional status of the registrar within a major research university.
- B. That the AAU Registrars should strive to implement the Mission and Guideline Statement of the Association of American Universities' Registrars within their respective institutions.
- C. That the AAU Registrars continue to engage in research concerning the history and development of higher education in AAU institutions as a means of better understanding and forecasting the future.
- D. That AAU Registrars should engage in a continuing evaluation and research program on the effectiveness of the relationship between a registrar and his or her respective institution based on the AAU Mission and Guidelines statement.

<sup>46</sup>-----  
Ibid., pp. 151-152.



E. That AAU Registrars seek to assist each other in professional growth and development in AAU institutions, including:

Scholarly stature;

Capacity for understanding the variety of functions of the University;

Administrative experience;

Energetic leadership;

Understanding the University's role in society, and society's influence on the University;

Sensitivity to the many groups that constitute the University community;

Establishing priorities for links to the University and administration;

Serving as an effective spokesperson for the University, its mission and role in society, and being a University advocate.

F. That AAU Registrars focus efforts on facilitating the exchange and flow of administrative data, and academic teaching, research, and service. This includes keeping abreast of current technology and information systems.

Accordingly, it is recommended that:

I. The AAU Registrars actively pursue the development of their conference with strict adherence to the above Mission and Guidelines statement.

- II. The AAU Registrars continue to engage in research about the history and development of AAU institutions of higher education as a means of better understanding and interpreting the future.
- III. The AAU Registrars organize an "Exchange Program" whereby AAU Registrars visit another AAU campus at least once per year to learn and view the operating philosophy and management of another AAU institution. It is intended that such an exchange of information and experiences would be of equal value to the individuals concerned.
- IV. The AAU Registrars should foster a continuing evaluation and research program on the effectiveness of the relationship between a registrar and his or her respective institution based on the Mission and Guidelines statement.

#### Summary

- I. The relationship between a registrar and his or her AAU institution should be based on the Mission and Guidelines statement of the Association of American Universities' Registrars.
- II. The history of the position of a university registrar and the history of the American Association of Collegiate Registrars and Admissions Officers provides professional focus and direction to understanding the role of the registrar in a major research university.



III. In the evolution of American higher education, American research universities emerged as a distinctive type of institution. It is important for Registrars to note and understand the factors tending to make the research universities alike, i.e., the separate organization of academic disciplines having intellectual sovereignty over their respective subjects. Likewise, it is equally important for Registrars to note and understand the factors tending toward diversity, i.e., the different ways in which the research universities relate to American society to secure the financial support upon which they depend. Reference was included in this study to the place of research universities within the national system of research institutions, and to the ways in which the research universities developed their research capabilities in the period prior to World War I. Next were the experiences of research universities during World War I and the far-reaching consequences that ensued. Clearly World War I hastened the expansion and differentiation of American higher education; and also produced a glorification of collegiate, as opposed to university, ideals. Another legacy of World War I was a national, privately funded university research system. Next, the foundations assumed leadership in encouraging the expansion of university research. Largely as a result of the foundation efforts, the research universities matured greatly during the course of the 1920's. In these developments within the universities there evolved important changes in student



recruitment, faculty careers, and arrangements for research. The great economic Depression then dealt the research universities a painful blow, but their research efforts were largely able to sustain the momentum acquired in the earlier period. It became apparent, however, that the university research system of the years between World War I and World War II, based as it was upon private patronage, would no longer suffice. New and more ample sources of support were required before the research universities would lead the next thrust forward in the advancement of knowledge.

- IV. The components of administration, management, leadership, and governance have been reviewed.

By definition, administration is an act of administering; the management of an activity; an executive. In the United States, college presidents and their aides are known as "the administration." They are expected to minister to the needs of the faculty and students. Administration is the provisioning and coordinating of activities for the principals of the campus: the professors, key staff, and students.

Management is the act or art of managing; more or less the skilled handling of an activity; the conducting or supervising of an activity. While administration sees that things are done right, management sees that the right things are done. While administration seeks for efficiency in the present structure, management strives for effectiveness through an improved structure. Management is an entrepreneurial element. It works

to make things better and appropriately different. It seeks to raise productivity and keep the university at the cutting edge of new knowledge and new forms and content of academic service. Management is the most neglected part of the contemporary college and university.

Leadership, by definition, is the position of a leader. Leadership is that intangible ability to touch people's nerve endings and cause them to act. It is what a university president must provide, quietly or with fire in his or her breath, if he/she is to dignify the enterprise, rouse the staff into a united drive toward excellence, and defend the work of higher education against unknowing or unappreciative assailants.

Governance, by definition, is the act or process of governing. The definition includes government, authority, a system of governing. One thing that distinguishes the management of a college or university is that, unlike a business, military, or religious organization -- it is a republic of sorts. That is, the faculty are political partners in the management of the vital heart of the enterprise, its academic portion. Administrative officers must consult with, seek advice from, and be guided by professors in anything pertaining to academic matters. Whatever the means, campus management must be tied somehow to acceptable governance procedures. A university is a quasi-political body. In current trends, the balance of power is shifting toward the

administration. Faculties are becoming more interested in reviewing, criticizing, and modifying policy -- than in making policy.

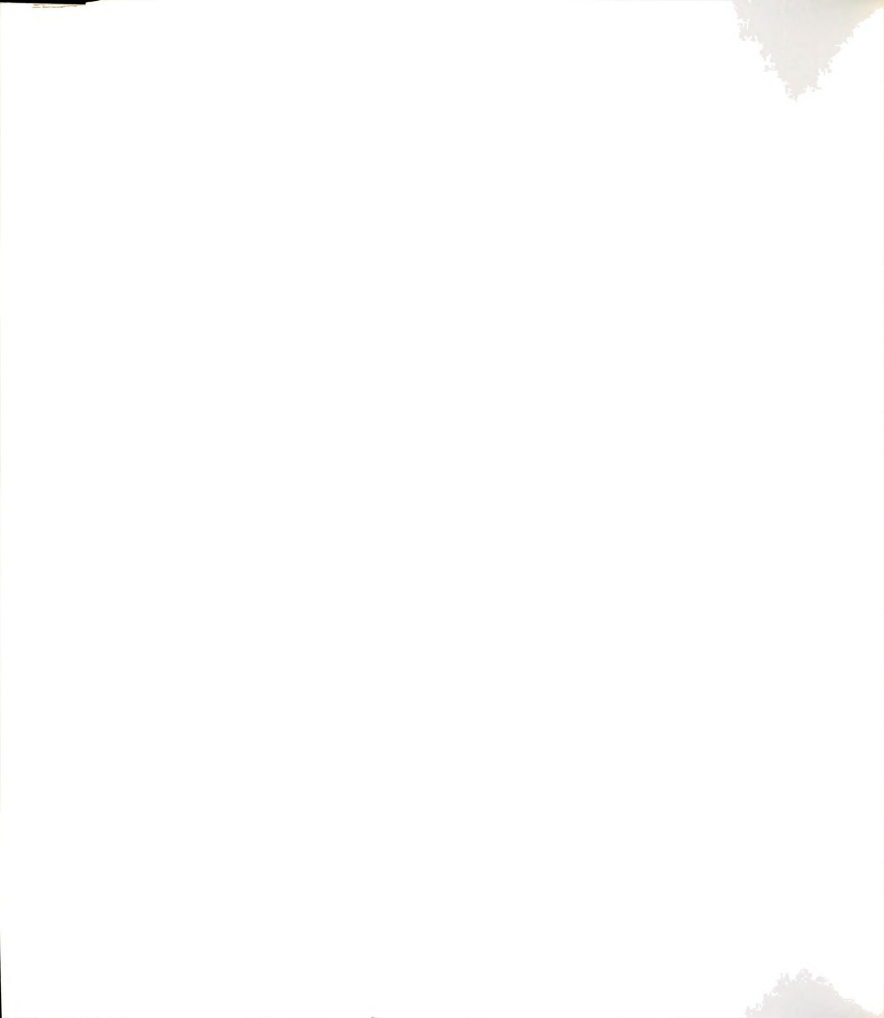
- V. Before planning, there is need for understanding the importance of information, quality, and people. With precise information; real quality in most parts of an institution; and a nucleus of gifted, innovative people -- the work of shaping an academic strategy can begin.
- VI. Shaping an academic strategy has a direct bearing on the ability of a registrar in a major research university in implementing the mission and guidelines of the Association of American Universities' Registrars; and the professional objectives of the American Association of Collegiate Registrars and Admissions Officers. The ability to shape an academic strategy is vital: to the developmental efforts of a registrar; for complete institutional perspective; and for the maintenance of a dynamic and viable academic relationship between a registrar and his or her respective research university.

## APPENDICES



APPENDIX A

ASSOCIATION OF AMERICAN UNIVERSITIES



ASSOCIATION OF AMERICAN UNIVERSITIES  
MEMBER INSTITUTIONS BY STATEARIZONA

University of Arizona

CALIFORNIACalifornia Institute of Technology  
Stanford University  
University of California, Berkeley  
University of California, Los Angeles  
University of California, San Diego  
University of Southern CaliforniaCOLORADO

University of Colorado

CONNECTICUT

Yale University

DISTRICT OF COLUMBIA

Catholic University of America

FLORIDA

University of Florida

ILLINOISNorthwestern University  
University of Chicago  
University of IllinoisINDIANAIndiana University  
Purdue UniversityIOWAIowa State University  
University of IowaKANSAS

University of Kansas

LOUISIANA

Tulane University

MARYLANDThe Johns Hopkins University  
University of MarylandMASSACHUSETTSBrandeis University  
Clark University  
Harvard University  
Massachusetts Institute of TechnologyMICHIGANMichigan State University  
University of MichiganMINNESOTA

University of Minnesota

MISSOURIUniversity of Missouri  
Washington UniversityNEBRASKA

University of Nebraska

NEW JERSEY

Princeton University

NEW YORKColumbia University  
Cornell University  
New York University  
Syracuse University  
University of RochesterNORTH CAROLINADuke University  
University of North CarolinaOHIOCase Western Reserve  
University  
Ohio State UniversityOREGON

University of Oregon

PENNSYLVANIACarnegie-Mellon University  
Pennsylvania State University  
University of PittsburghRHODE ISLAND

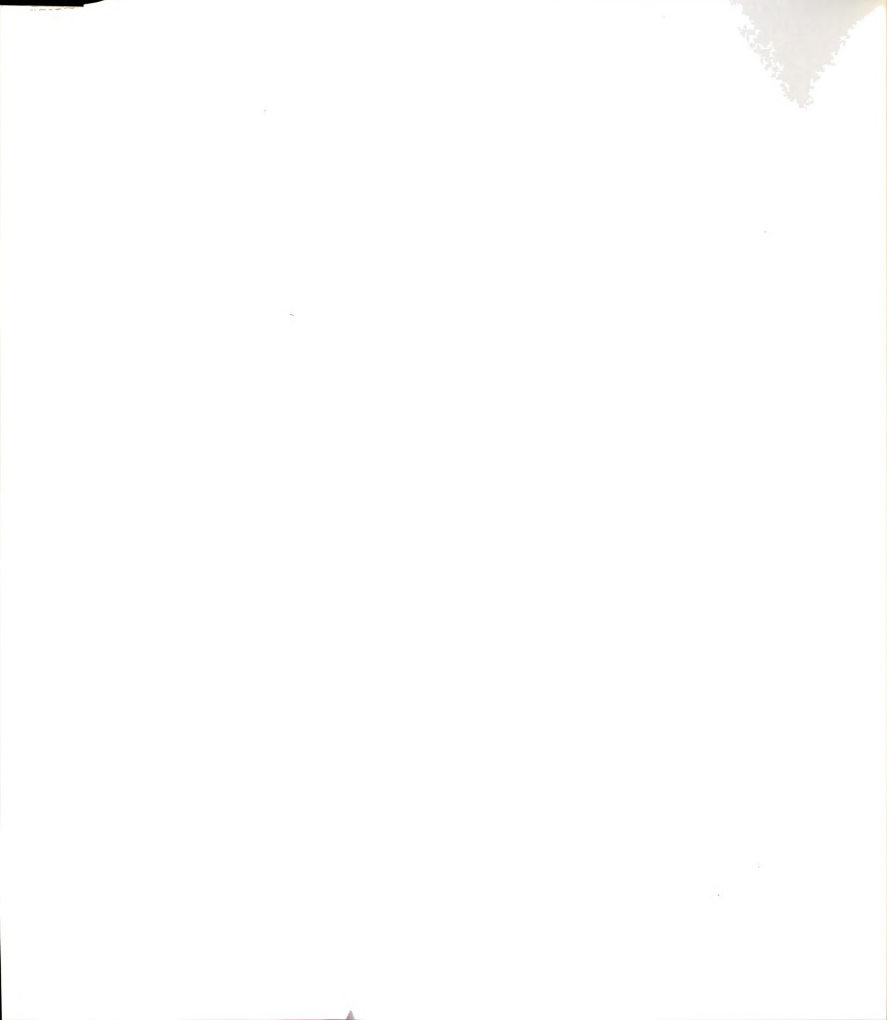
Brown University

TENNESSEE

Vanderbilt University

TEXASRice University  
University of Texas





VIRGINIA

University of Virginia

WASHINGTON

University of Washington

WISCONSIN

University of Wisconsin

CANADA

McGill University

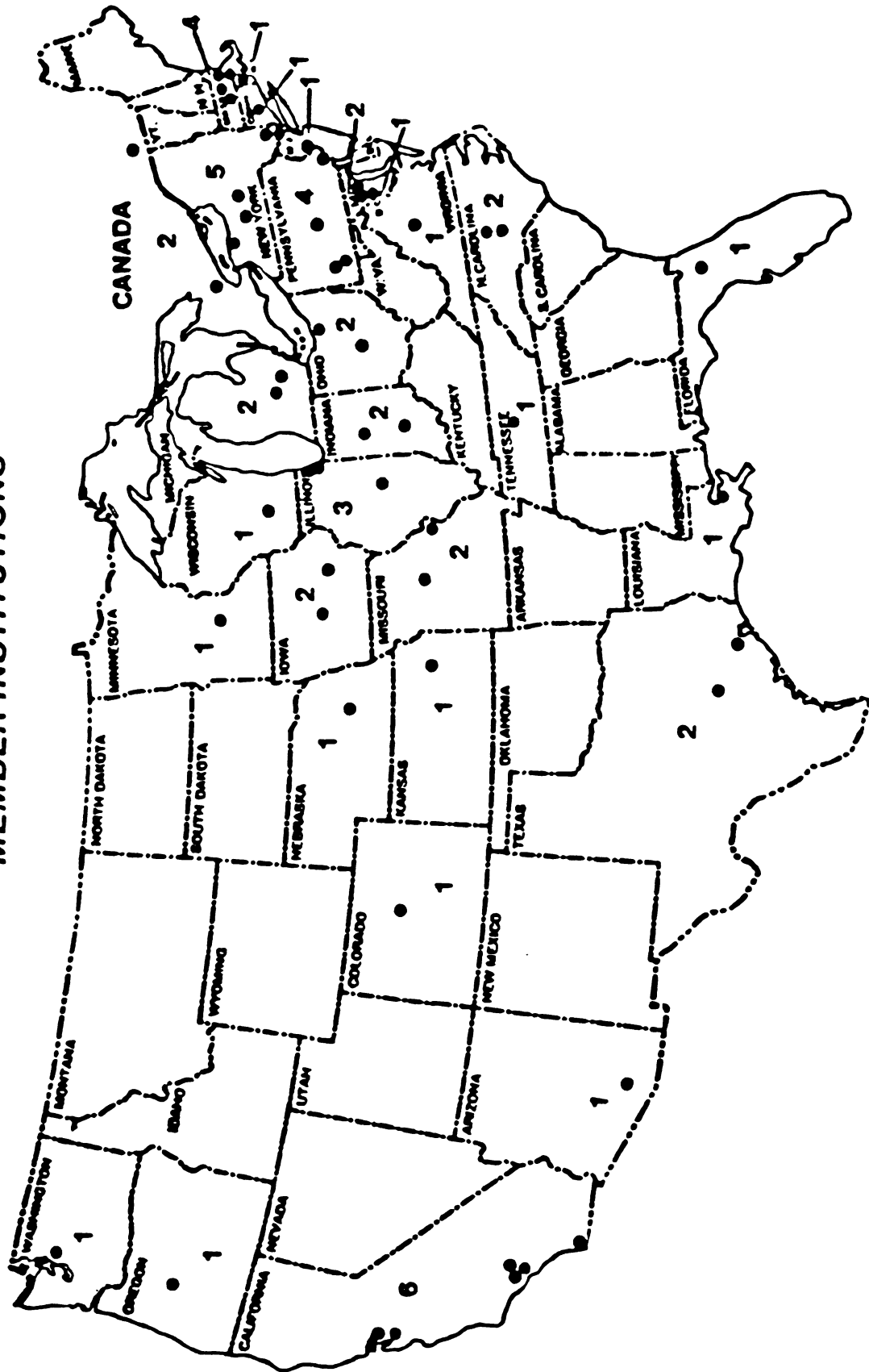
University of Toronto

## ASSOCIATION OF AMERICAN UNIVERSITIES

Member Institutions in Order of Admission

- |  |   |
|--|---|
| <u>1900:</u> 1. University of California, Berkeley | <u>1934:</u> 31. California Institute of Technology   |
| 2. Catholic University of America                  | 32. Massachusetts Institute of Technology             |
| 3. University of Chicago                           | <u>1938:</u> 33. Duke University                      |
| 4. Clark University                                | <u>1941:</u> 34. University of Rochester              |
| 5. Columbia University                             |   |
| 6. Cornell University                              | <u>1950:</u> 35. New York University                  |
| 7. Harvard University                              | 36. Vanderbilt University                             |
| 8. The Johns Hopkins University                    | 37. University of Washington                          |
| 9. University of Michigan                          |   |
| <u>1904:</u> 10. University of Pennsylvania        | <u>1958:</u> 38. Iowa State University                |
| 11. Princeton University                           | 39. Pennsylvania State University                     |
| 12. Stanford University                            | 40. Purdue University                                 |
| 13. University of Wisconsin                        | 41. Tulane University                                 |
| 14. Yale University                                |   |
| <u>1908:</u> 15. University of Virginia            | <u>1964:</u> 42. Michigan State University            |
| 16. University of Illinois                         |   |
| 17. University of Minnesota                        | <u>1966:</u> 43. University of Colorado               |
| 18. University of Missouri                         | 44. Syracuse University                               |
| <u>1909:</u> 19. Indiana University                | <u>1969:</u> 45. Case Western Reserve University      |
| 20. University of Iowa                             | 46. University of Maryland                            |
| 21. University of Kansas                           | 47. University of Oregon                              |
| 22. University of Nebraska                         | 48. University of Southern California                 |
| <u>1916:</u> 23. Ohio State University             |   |
| <u>1917:</u> 24. Northwestern University           | <u>1974:</u> 49. University of California-Los Angeles |
| <u>1918:</u> 25. University of North Carolina      | 50. University of Pittsburgh                          |
| <u>1923:</u> 26. Washington University             | <u>1982:</u> 51. University of California, San Diego  |
| <u>1926:</u> 27. McGill University                 | 52. Carnegie-Mellon University                        |
| 28. University of Toronto                          |   |
| <u>1929:</u> 29. University of Texas               | <u>1985:</u> 53. University of Arizona                |
| <u>1933:</u> 30. Brown University                  | 54. Brandeis University                               |
|  | 55. University of Florida                             |
|  | 56. Rice University                                   |

# ASSOCIATION OF AMERICAN UNIVERSITIES MEMBER INSTITUTIONS



## ASSOCIATION OF AMERICAN UNIVERSITIES

Founded in 1900 by the fourteen American universities that then offered the Ph.D. degree, the Association of American Universities (AAU) currently consists of fifty-four American and two Canadian universities with strong programs of graduate and professional education and scholarly research.

At this time, half of the members of AAU are public institutions, half are private. A member institution is represented in the AAU by its chief executive officer. The invitation of new members, which requires the assent of three-fourths of the membership is considered every three years. The last addition to the membership occurred in July, 1985, when the Universities of Arizona and Florida, Brandeis University, and Rice University were admitted.

The Association serves its member institutions through activities designed to encourage timely consideration of major issues affecting the quality of academic research and advanced education and to enable member institutions to communicate more effectively with the federal government. Through its biannual membership meetings, the AAU also provides the opportunity for the chief executive officers of its institutions to engage in both formal and informal discussions with their colleagues.

## AAU Committee Structure

The AAU is organized into an Executive Committee and, at present, the following six standing committees: Arts and Humanities, Graduate Education, Health and Biomedical Research, Research Libraries, Research Management, and Science and Research. The regular committee structure is augmented by ad hoc committees of presidents and chancellors and their staffs as needed.

Each AAU member normally serves on one of the standing committees. Service on ad hoc committees is in addition to a member's appointment to a standing committee. The chairs of the standing committees are appointed by the Executive Committee to serve for two years. Although there is no fixed period for standing committee membership, members are given an opportunity once a year to request a change to a different committee.

The AAU Executive Committee comprises the AAU Chairman, Vice Chairman, Past Chairman, five at-large members, and the AAU President. The Executive Committee members are nominated by a nominating committee and approved by a vote of the membership. The positions of AAU Chair, Vice Chair, and Past Chair carry one-year terms. Members-at-large serve three-year terms. The AAU President heads the Washington-based staff of the AAU and serves for a period determined by the Executive Committee.

The Executive Committee meets three times a year in addition to the biannual membership meetings. The Committee is charged with providing general oversight of the organization and functioning of the Association. Major shifts in policy or structure of the Association must receive an initial approval by the Executive Committee, although final approval typically is reserved for the full membership.

#### AAU Staff

The Association's office is at One Dupont Circle, N. W., Suite 730, Washington, D. C. 20036 (202/466-5030). Robert M. Rosenzweig became the second President of the AAU in February 1983. The following is the division of responsibilities among the six other members of the professional staff.

John C. Crowley, Director of Federal Relations for Science Research. His areas of responsibility include federal programs for the support of research and advanced education in the sciences. He works principally with the National Science Foundation, the Department of Defense, related congressional committees, and serves as liaison with scientific organizations. He is staff to the DOD-University Forum and manager of the AAU/National Association of State Universities and Land-Grant Colleges/Council on Government Relations policy project on the research instrumentation needs of universities.

Carol R. Scheman, Director of Federal Relations for Health and Biomedical Research. Her areas of responsibility are federal programs for the support of biomedical research and advanced training in the health professions. She is the liaison to the Department of Health and Human Services, the National Institutes of Health, and the Alcohol, Drug Abuse and Mental Health Administration and related congressional committees. She is the AAU staff to the AAU/American Council on Education/National Association of State Universities and Land-Grant Colleges Joint Committee on Health Policy and to the AAU Committee on Indirect Cost Reimbursement.

John C. Vaughn, Senior Federal Relations Officer. He is responsible for issues related to graduate education, research libraries, and international studies. He works principally with the Department of Education and the congressional committees with jurisdiction over it. He also oversees the AAU project on Graduate and Professional Education and is staff to the Association of Graduate Schools (AGS).

Association of American Universities  
Page Three

Thomas Head, Senior Federal Relations Officer. His primary responsibilities include tax policy, legislation affecting research procurement, and civil liberties. He is responsible for liaison with the National Endowment for the Humanities, the Treasury Department, and the Environmental Protection Agency.

April L. Burke, Director of Clearinghouse on University-Industry Relations. In addition to her responsibilities as Director of the Clearinghouse, she monitors antitrust and Food and Drug legislation, patent law, and small business issues.

All of the above assignments include coverage of legislative, appropriations, and regulatory issues. Since there are, inevitably, both overlap among and gaps between assignments, there is a high degree of collaboration among the staff on issues.

The AAU staff work closely with governmental relations officers of member institutions. The executive head of each AAU institution assigns one or two of his or her staff to serve as the federal relations liaison with the AAU Washington office. These individuals constitute the Council on Federal Relations (CFR), which is organized to provide a source of technical expertise and to work with the AAU staff on federal relations issues.

#### AAU Membership Meetings

The Association holds two membership meetings annually. The fall membership meeting is conducted on a member campus; the spring meeting is held in Washington, D. C. The agendas of the meetings typically cover a broad range of educational issues of interest to the AAU membership.

The membership meetings are open to AAU executive heads and spouses. The typical meeting runs from Sunday evening through Tuesday morning. The schedule of meetings is set at least two years in advance.

#### Finances and Expenses

The operation of the AAU Washington office, as well as some of the general costs of the membership meetings, is financed by dues paid by the member institutions.

Association of American Universities  
Page Four

### Affiliations

In its development of policy and in its federal relations activities, the AAU often coordinates its activities with those of other organizations. For issues related to graduate education, the AAU works closely with the Association of Graduate Schools (AGS), comprising the graduate deans of the AAU member institutions. The AGS meets once annually, just prior to the fall membership meeting of the AAU.

The AAU is affiliated with other higher education associations through two interassociational organizations.

(1) The AAU joins with the American Council on Education (ACE) and the National Association of State Universities and Land-Grant Colleges (NASULGC) to form the Research Universities Network (RUN), a federal relations network comprising the major research universities in each of the fifty states. This network makes possible prompt, coordinated action on federal issues affecting the vitality of research universities. The RUN holds a one-day annual meeting each winter following the release of the federal budget and shorter meetings throughout the Congressional session.

(2) The Joint Committee on Health Policy comprises representatives of AAU, ACE, NASULGC, and invited participants from professional groups such as the American Association of Medical Colleges and the Association of Academic Health Centers. This committee, which meets three times a year, deals with the full range of issues affecting biomedical research and health professions education.

The AAU works with a wide range of other organizations on an ad hoc basis.

### International Education

The AAU sponsored a major report in international studies, Beyond Growth: The Next Stage in Language and Area Studies by Richard Lambert. It is a comprehensive analysis of the national capacity to conduct research and advanced education in language and area studies. AAU activities in international studies are now focused on implementation of the recommendations of that report.

Along with other higher education associations, the AAU is actively involved in international associations. The AAU organizes its own exchanges with the West German Rectors Conference and the Council of Vice Chancellors and Principals of the Universities of the United Kingdom.



### Communications

In addition to continual, informal communications, the AAU President and staff regularly communicate with member institutions through the Federal Relations Report. This newsletter, published bimonthly when Congress is in session, is sent to the members of the Council on Federal Relations (CFR).

The Washington office is linked with many of the AAU campuses by an electronic communications system. This network links computers on member campuses with each other and with the AAU Washington office. The Federal Relations Report and other AAU communications are distributed to members of this network, providing federal relations officers with the documents in a timely fashion. In addition, the system enables campus officials and AAU staff to exchange drafts of documents which are being jointly written. Information on the electronic communications system can be obtained from Gregory A. Dobie, Information Services Manager, at AAU (202/466-5030).



APPENDIX B

ORGANIZATION MEETING FOR AAU REGISTRARS  
WEST LAFAYETTE, INDIANA

NOVEMBER 16, 1986

121  
Dinner Meeting With Big Ten and  
University of Chicago Registrars

Purdue Room - Sheraton University Inn  
West Lafayette, Indiana 6:30 p.m., 11-16-86

Jerald W. Dallam  
University of Iowa  
(319) 353-3058

William F. Fierke  
University of Illinois  
(217) 353-0210

Donald G. Gwinn (Margi Hughes, Associate Registrar will attend)  
Northwestern University  
(312) 491-5234

Horace C. King  
Michigan State University  
(517) 355-3330

Samuel R. Lewis  
University of Minnesota  
(612) 625-1530

R. Gerald Pugh  
Indiana University  
(812) 335-1775

Gene Schuster  
Ohio State University  
(614) 292-1556

Alfred A. Stuart  
University of Michigan  
(313) 763-4294

Betty M. Suddarth  
Purdue University  
(317) 494-4600

Maxine H. Sullivan  
University of Chicago  
(312) 753-1234

Don J. Wermers  
University of Wisconsin  
(608) 262-3964



Dinner Meeting with Big Ten and University of Chicago Registrars  
 Purdue Room - Sheraton University Inn  
 West Lafayette, Indiana 6:30 p.m. 11-16-86

### Agenda

- A. Mission: Continuing efforts to enhance the professional status of the registrar in institutions of higher education.
- B. Suggestion: Because all of the Big Ten institutions and the University of Chicago are members of the Association of American Universities (AAU), that consideration be given to organizing a conference of the AAU registrars.

That the format for such a conference be flexible to include seminars, panel discussions, lectures, etc.

That the conference be restricted to a single representative from each of the fifty-six AAU institutions.

That the role of the registrar in a complex research university continue to be analyzed and compared to the current and future roles.

That we seek to assist each other in professional growth and development in our AAU institutions, including:

- . Scholarly stature;
- . Capacity for understanding the variety of functions of the University;
- . Administrative experience;
- . Energetic leadership;
- . Understanding the University's role in society, and society's influence on the University;
- . Sensitivity to the many groups that constitute the University community;
- . Establishing priorities for links to the University and administration;
- . Serving as an effective spokesperson for the University, its mission and role in society, and being a University advocate.

That we focus our efforts on facilitating the exchange and flow of administrative data, and academic teaching, research, and service. This includes keeping abreast of current technology and information systems.

Dinner Meeting with Big Ten and University of Chicago Registrars,  
11-16-86  
Page 2

C. Planning Committee: That the registrars of the Big Ten and University of Chicago organize as the planning committee or board for a registrar's AAU conference.

That the organization and format of the registrars of the AAU be held to a simple and uncomplicated model.

D. Timing: That consideration be given to a national meeting of the fifty-six AAU registrars in mid or late February, 1987, and thereafter.

E. Discussion: -----

APPENDIX C

AAU REGISTRARS CONFERENCE

FEBRUARY 28 - MARCH 3, 1987

LONGBOAT KEY, FLORIDA





MICHIGAN STATE UNIVERSITY

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OFFICE OF THE REGISTRAR  
ADMINISTRATION BUILDING

EAST LANSING • MICHIGAN • 48824-1046

February 18, 1987

Dear Colleagues:

AAU Registrars Conference

Enclosed is the agenda that has been developed from the topics suggested. As a first order of business when we convene the conference, I would like you to react to the agenda and decide on any adjustments or modifications -- and then approve the agenda before we proceed. In a telephone conference call yesterday with the planning committee it was suggested that we consider dividing into special interest groups related to the operational questions in order to achieve a more complete coverage of the agenda. In reference to the organizational/management/philosophical topics, the items listed in the agenda are intended to be representative -- with the opportunity to add to or adjust the direction of our discussions as we proceed. Of course, this same flexibility should also prevail in reference to the operational issues.

Also enclosed is a current roster of the registrants for the conference.

I look forward to seeing you at the end of this month.

Best personal wishes in the meantime.

Sincerely,

Horace C. King

drd

Enclosures

## 1987 Conference of Association of American Universities' Registrars

Planning Committee

Jerald W. Dallam  
University of Iowa  
(319) 335-0217

William F. Fierke  
University of Illinois  
(217) 333-2530

Donald G. Gwinn  
Northwestern University  
(312) 491-5234

Horace C. King  
Michigan State University  
(517) 355-3330

Samuel R. Lewis  
University of Minnesota  
(612) 625-1530

R. Gerald Pugh  
Indiana University  
(812) 335-1775

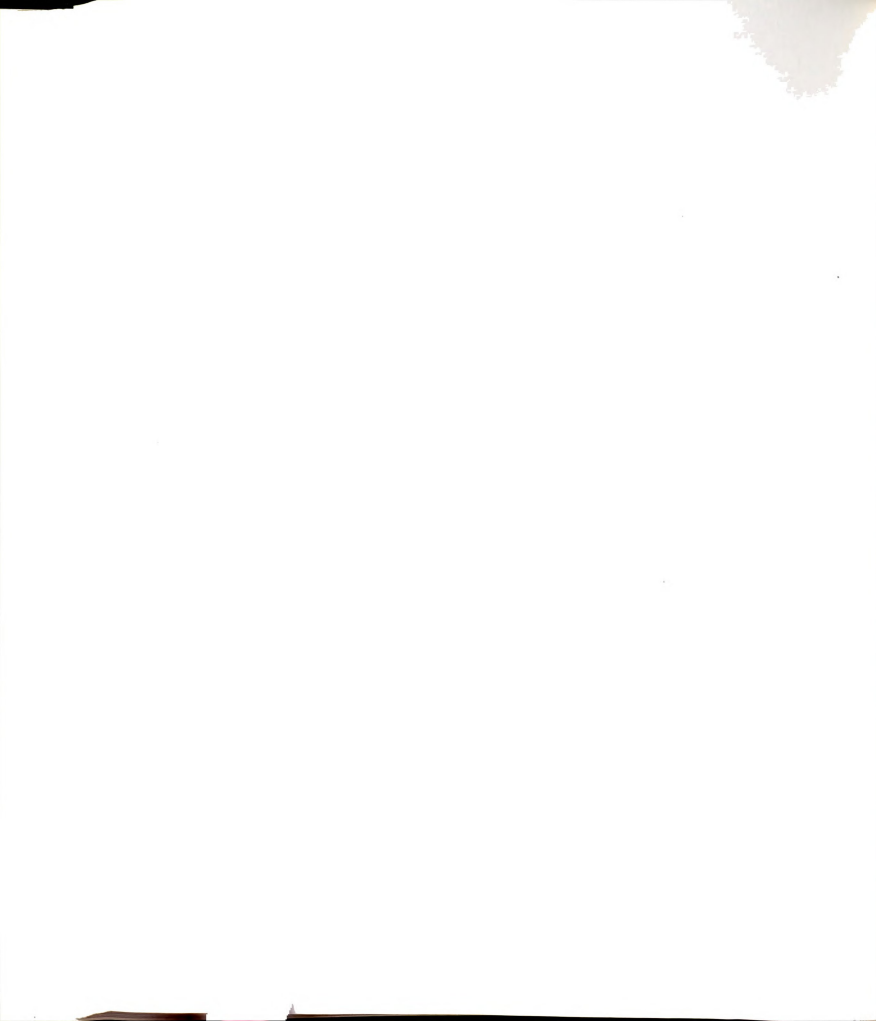
Gene Schuster  
Ohio State University  
(614) 292-1556

Alfred A. Stuart  
University of Michigan  
(313) 763-4294

Betty M. Suddarth  
Purdue University  
(317) 494-6133

Maxine H. Sullivan  
University of Chicago  
(312) 702-7880

Don J. Wermers  
University of Wisconsin  
(608) 262-3964



1987 Conference of Association of American Universities' Registrars

Longboat Key Hilton Inn  
Longboat Key, Florida

February 28 - March 3, 1987

A G E N D A

1. Some aspects of the history of the registrar.

William F. Fierke, University of Illinois

2. A comparison of the position of registrar with the registrars of British and other Commonwealth institutions.

J. P. Schuller, McGill University

3. What is our primary role in our institutions -- and what is it likely to become?

What is the role of the registrar in the area of institutional studies and research?

Are we a support unit to the educational mission of our institution?  
If so, why are many of us reporting through Student Affairs and not Academic Affairs? Does it matter?

Teaching by registrars.

Organizational placement of registrars in AAU institutions.

Upgrading staff -- starting with ourselves.  
Professional and staff development, and career preparation.  
Preparation and training of future registrars.

Leadership through service.

Enhancing the professional status of the registrar.

Robert E. Cyphers, The Johns Hopkins University  
Jerald W. Dallam, University of Iowa  
Peter DeBlois, Syracuse University  
William F. Fierke, University of Illinois  
Gary Gibson, Vanderbilt University  
Horace C. King, Michigan State University  
R. Gerald Pugh, Indiana University  
J. P. Schuller, McGill University  
Eugene Schuster, Ohio State University  
Alfred Stuart, The University of Michigan  
Maxine Sullivan, The University of Chicago

4. New systems development.

Mainframe computer systems -- and subsystems.

Decentralized college/department student data bases on microcomputers. Access to data.

Uploading and downloading -- and related institutional policies and procedures.

On-line and telephone registration -- and related applications.

Integrated and automated Student Information Systems.

Institutional practices and policies regarding verification/certification requests. Electronic processing? Fee assessed for these services?

Athletic certification and related topics.

Constructing/producing class schedules.

Electronic production of course bulletins.

Automated scheduling of classrooms. Classroom utilization.

Faculty utilization.

Electronic audit trails. Quality controls in the Office of the Registrar.

Electronically distributed grading.

Computer networks -- how are we going to use them?

Cooperative agreements -- such as electronic transcript transmissions. Standards.

Coordination of codes and systems within the university.

Smart Cards.

Samuel D. Conte, University of Pittsburgh  
Peter DeBlois, Syracuse University  
Gary Gibson, Vanderbilt University  
Keith E. Ickes, Cornell University  
Zeita Loble, Columbia University  
John P. McCarthy, The Catholic University of America  
Howard D. Saperston, University of Southern California  
Eugene Schuster, Ohio State University  
John J. Smolen, Jr., University of Pennsylvania  
William C. Spann, University of Maryland  
Vernon Voyles, University of Florida

5. Legal questions, and relationship with legal staff.

Jerald W. Dallam, University of Iowa  
Vernon Voyles, University of Florida

6. College Day programs.

Formula Funding.

I B programs.

Enrollment Management.

Vernon Voyles, University of Florida

7. Guidelines governing privacy and release of student records, and unit and individual responsibility for computer-based student data.

Adjusting to new information technology.

Relationships with colleagues in the controller's office, financial aids office, admissions office, data processing department, etc.

Institutional studies and research. CONFER network. Do we want to report trends to the New York Times, The Chronicle of Higher Education, etc.?

Strategies for communication with colleges and units in a large scale institution.

Improving services in the Office of the Registrar to students, executive officers, and academic colleges and units.

Robert E. Cyphers, The Johns Hopkins University  
Jerald W. Dallam, University of Iowa  
Peter DeBlois, Syracuse University  
William F. Fierke, University of Illinois  
Gary Gibson, Vanderbilt University  
Horace C. King, Michigan State University  
R. Gerald Pugh, Indiana University  
Eugene Schuster, Ohio State University  
William C. Spann, University of Maryland  
Alfred Stuart, The University of Michigan  
Maxine Sullivan, The University of Chicago  
Vernon Voyles, University of Florida

8. Visiting registrar or exchange program.

Maxine Sullivan, The University of Chicago

9. Forms exchange and a survey of mainframe systems and subsystems.

Howard Saperston, University of Southern California  
Maxine Sullivan, The University of Chicago

10. What grading policy is utilized when a student transfers between schools with different policies?

John J. Smolen, Jr., University of Pennsylvania





## APPENDIX D



# MICHIGAN STATE UNIVERSITY

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OFFICE OF THE REGISTRAR  
ADMINISTRATION BUILDING

EAST LANSING • MICHIGAN • 48824-1046

March 18, 1987

## MEMORANDUM

To: AAU Registrars  
From: Horace C. King  
Subject: Summary and Status Report on 1987 Conference of  
AAU Registrars

### Attendance

A total of 38 registered for the conference held February 28 - March 3, 1987 at the Longboat Key Hilton in Florida, as follows:

Sunny L. Low, U. of Calif.-Berkeley  
William R. Locklear, U.C.L.A.  
Howard D. Saperston, U.S.C.  
Byron G. McCalmon, U. of Colorado  
John P. McCarthy, The Catholic Univ. of America  
L. Vernon Voyles, U. of Florida  
Donald G. Gwinn, Northwestern Univ.  
Maxine H. Sullivan, The Univ. of Chicago  
William F. Fierke, U. of Illinois  
R. Gerald Pugh, Indiana Univ.  
Betty M. Suddarth, Purdue Univ.  
Fred C. Schlunz, Iowa State Univ.  
Jerald W. Dallam, Univ. of Iowa  
Earl D. Retif\*, Tulane University  
Robert E. Cyphers, The Johns Hopkins U.  
William C. Spann, U. of Maryland  
Ronald P. Smith, M.I.T.  
Horace C. King, Mich. State U.  
Alfred A. Stuart, The Univ. of Mich.  
Samuel R. Lewis, U. of Minnesota  
Ted Pfeifer, U. of Nebraska  
Zelta-Marion Loble, Columbia Univ.  
Keith E. Ickes, Cornell University  
Millicent A. LeCount, New York Univ.  
Peter B. DeBlois, Syracuse Univ.  
Jerome D. Diver\*, Univ. of Rochester  
Harry E. DeMik, Duke University  
David C. Lanier, U. of North Carolina

Continued on Page 2

R. Eugene Schuster, Ohio State Univ.  
Herb Chereck, Univ. of Oregon  
Richard Rainsberger, Carnegie-Mellon U.  
Warren R. Haffner, Pennsylvania State U.  
John J. Smolen, Jr., U. of Pennsylvania  
Samuel D. Conte, U. of Pittsburgh  
R. Gary Gibson, Vanderbilt University  
Roger O. Printup, U. of Virginia  
Donald J. Wermers, U. of Wisconsin  
Jean Paul Schuller, McGill University

\* Unable to attend Conference.

The invited participants. The intent in the identification of the person invited from each of the AAU institutions is to focus on the single person who comes closest to being administratively and functionally responsible for the Office of the Registrar operations on the main campus of an AAU institution. Thus, one person from each institution was invited. The restricted size of no more than fifty-six participants is intended to facilitate the seminar/discussion format of the conference.

#### General Statements

Listed below are a set of summary statements from the conference that set the stage for the discussions:

- A major goal of the conference is social -- to get to know each other. We want to feel comfortable in calling each other, in working together -- and, in that sense, in helping our respective universities.
- Reference was made to the Mission and Guidelines statement (copy attached for those who could not attend this first conference) that was included in the initial mailing on the conference. If we generally agree with this statement, it follows that our goal is to enhance the professional status of the Registrar's position. We need to chart our future. We need to do our homework, be prepared, get involved. We must be competent and have self-confidence.
- Are we withdrawing to ever-increasing narrower specialization, or do we need to be broadening our interests and horizons? (The discussion indicated the latter is important.)

Continued on Page 3

- We need to learn from our mistakes. We must become seasoned. We must become more effective at communicating.
- We need to have an institutional view.
- We need to train future Registrars. We need to understand and interpret the future.
- We need to work within the system to achieve our goals. One interpretation of working within the system recognizes that we all represent major research universities. Thus, research is a key. Another key is scholarly stature.

#### Agenda Enclosed

For those who could not attend this first AAU Registrars' conference, a copy of the agenda is enclosed for your information.

#### Summary of Comments From the Discussions

A summary of comments from the discussions includes, but by no means is limited to, the following:

- The majority of the Registrars present appeared to report through academic affairs. It was stated that "we are an academic support unit -- not a student life operation." Wherever the Registrar is assigned for reporting within the organization, the Registrar is well advised to develop and maintain a network with the academic units and deans.
- The majority of the universities represented did not seem to have institutional research offices. However, the discussion revealed that institutional research as a function is handled in a variety of ways including assignments to the Office of the Registrar, and to the Office of Planning and Budgets. Also, reference was made to Information Czars -- and some admonished that Information Czars frequently have too little knowledge, and they over-interpret a limited set of data.
- Definitions were cited for administration, management, leadership, and governance. Administration is the provisioning and coordinating of activities for the principals of the campus. Management is the entrepreneurial element that works to make things better and appropriately different. Management is the most neglected part of an administrator's role. Leadership is that intangible ability to touch people's nerve endings and cause them to act -- to rouse the staff into a united drive toward excellence and defend the work of higher education. In reference to

governance, the university is a republic of sorts. The faculties are politically partners in the management of the academic enterprise. Whatever the means, campus management must be tied somehow to acceptable governance procedures. Discussion followed:

- Administrative management is vitally important. Registrars have to be ready to respond. Registrars need to take the initiative. We lost ground by our predecessors, but we do have a global view. We have been straddlers. Leadership through service -- it is the only way! Honesty -- tell it like it is. We manage history. We have the perspective of history. What's it going to look like on an academic record twenty years from now? We are engaged in the roots of history, and we are constantly planting more roots. Twenty to thirty years from now we hope that what we have done can be verified. Registrars have a rich heritage. We are a nerve center of the university; but we have stopped! Too many of us do not take time to write. We need to write and publish. We need a little PR. Get involved in the academic community. Teaching! Training the next Registrar. Registrars need to move in and fill the vacuum. If someone doesn't complain, you haven't gone too far.
- The Office of the Registrar provides data -- not information. It was suggested that the Registrar should offer some conclusions of data interpretations.
- Trend is toward centralization of recordkeeping based on federal audits.
- We need to reduce layers of people between you and the person writing the code.
- We need to come up with some broad standards for electronic transcript transmissions -- and smart cards.
- There was a healthy discussion on transcripts. It was agreed that we would exchange copies of our current transcripts with the other AAU Registrars. Our sample transcript should be one that includes a degree awarded.
- It was also agreed to exchange copies of our Schedule of Courses publication.
- Al Stuart of The University of Michigan was asked to share information about his electronic classroom scheduler as a follow-up to the conference.
- There was a discussion about starting an annual profile questionnaire of AAU institutions and the Office of the Registrar including hardware investment and level of staffing.

Committee Assignments

By the conclusion of the conference, the following committees had been established for follow-through studies, probable reports spaced throughout the year, and for next year's conference:

- Institutional Profile and Analysis -- Peter B. DeBlois, Syracuse University, Chairperson
- Standards for Electronic Transcripts and Smart Cards -- Keith E. Ickes, Cornell University, Chairperson
- Optical Laser Disk Storage of Records, Replacing Microfilm -- Zeita-Marion Lobley, Columbia University, Chairperson
- Upgrading Staff Starting With Ourselves; Professional and Staff Development, and Career Preparation; and Preparation and Training of Future Registrars -- Alfred A. Stuart, The University of Michigan, Chairperson
- Procedure Manuals -- Richard Rainsberger, Carnegie-Mellon University, Chairperson
- Data Control; Guidelines Governing Privacy and Release of Student Academic Records; and Unit and Individual Responsibility for Computer-based Student Data -- Jean Paul Schuller, McGill University, Chairperson
- Independent Institutions -- Robert E. Cyphers, The Johns Hopkins University, Chairperson
- Software Application Information Exchange; Reports from Institutions on Major Software Packages -- Roger O. Printup, University of Virginia, Chairperson
- Experiences of What Works and Doesn't Work; Successes; Failures -- William F. Fierke, University of Illinois, Chairperson

In addition,

- General Conference Program and Administrative Coordination -- Horace C. King, Michigan State University, Chairperson
- Conference Facilities and Logistical Arrangements -- R.Gerald Pugh, Indiana University, Chairperson

Continued on Page 6



### AAU Registrars' Network Communication

Each of us is requested to obtain an address for using BITNET. When Peter DeBlois sends out his institutional questionnaire, your personal BITNET address will be collected at that time.

### BITNET Comment

While it appears that BITNET offers the best short-term communications medium for AAU Registrars, we probably should keep a number of points in mind.

The growth of INTERNET will probably bring about the long-term dissolution and absorption of BITNET. INTERNET has a much greater survival potential. In addition, from a technical standpoint, INTERNET offers greater speed and data capacity and will provide a better medium when we begin to seriously contemplate transcript data transmission.

Transcript transmission will require hard encryption at or preferably beyond NSA standards. Neither BITNET nor INTERNET provides security sufficient to allow transmission in clear at this time.

### Future Plans

It was agreed to meet again next year -- basically the same time and same place. The dates are February 26 through March 1, 1988. The same two hotels on Longboat Key (Hilton and Holiday Inn) will be used, and the Hilton will be the principal hotel for conducting the meetings.

### Conclusion

On behalf of the planning committee from the Big Ten Universities and the University of Chicago, appreciation is expressed to all who attended and participated in making this a significant conference.

Follow-up activities are underway -- and we hope that all fifty-six AAU "Registrars" will actively participate.

Finally, my personal thanks to each of you for your active participation in our joint project that we are undertaking. Please feel free to contact me whenever you think I can be of assistance, including clarifying this general conference report in those instances where I garbled the message. My direct telephone line is 517, 355-3330; BITNET address that is to be operational within the next few days is HCKING@MSU.

Best personal wishes to each of you.

Enclosures

Mission and Guidelines of the Conference:

- a. That continuing efforts be directed to enhancing the professional status of the registrar in institutions of higher education.
- b. That the conference be restricted to a single registrar representative from each of the fifty-six AAU institutions.
- c. That the organization of the AAU Registrars be held to a simple and uncomplicated model.
- d. That the role of the registrar in a complex research university continue to be analyzed and compared to current and future roles.
- e. That AAU Registrars seek to assist each other in professional growth and development in AAU institutions, including:
  - . Scholarly stature;
  - . Capacity for understanding the variety of functions of the University;
  - . Administrative experience;
  - . Energetic leadership;
  - . Understanding the University's role in society, and society's influence on the University;
  - . Sensitivity to the many groups that constitute the University community;
  - . Establishing priorities for links to the University and administration;
  - . Serving as an effective spokesperson for the University, its mission and role in society, and being a University advocate.
- f. That AAU Registrars focus efforts on facilitating the exchange and flow of administrative data, and academic teaching, research, and service. This includes keeping abreast of current technology and information systems.

3-18-87

## The Association of American Universities' Registrars

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