

This is to certify that the

thesis entitled

A DESCRIPTION AND ANALYSIS OF THE RELATIONSHIPS OF
SELECTED INDEPENDENT COLLEGES AND UNIVERSITIES TO
STATE GOVERNMENTS IN ELEVEN MIDWESTERN STATES

presented by

Linda Marie Bevilacqua

has been accepted towards fulfillment
of the requirements for

Ph.D. degree in Education

A handwritten signature in cursive script, appearing to read "L. C. ...", written over a horizontal line.

Major professor

Date October 3, 1980



OVERDUE FINES:

25¢ per day per item

RETURNING LIBRARY MATERIALS:

Place in book return to remove
charge from circulation records

--	--	--

A DESCRIPTION AND ANALYSIS OF THE RELATIONSHIPS OF
SELECTED INDEPENDENT COLLEGES AND UNIVERSITIES TO
STATE GOVERNMENTS IN ELEVEN MIDWESTERN STATES

By

Linda Marie Bevilacqua

A DISSERTATION

Submitted to
Michigan State University
in partial fulfillment of the requirements
for the degree of

DOCTOR OF PHILOSOPHY

Department of Administration and Higher Education

1980

ABSTRACT

A DESCRIPTION AND ANALYSIS OF THE RELATIONSHIPS OF SELECTED INDEPENDENT COLLEGES AND UNIVERSITIES TO STATE GOVERNMENTS IN ELEVEN MIDWESTERN STATES

By

Linda Marie Bevilacqua

A review of the literature and research of the politics of higher education revealed a dearth of information regarding the relationship of the independent sector of higher education to state governments. On the other hand, numerous pieces of literature pertained to the precarious present status and uncertain future of the sector, its need for and dependence upon state financial aid to students, and the strengthening role of state government in the future.

The purposes of the study were:

1. To describe the relationship of selected independent colleges/universities to state governments in Region I of the National Association of Independent Colleges and Universities: key participants, the factors which impinged upon the relationship, forms of communication, and the methods and tactics used by the colleges/universities to relate to elected state government officials.
2. To identify the effectiveness of a select group of methods and tactics in influencing the voting patterns of legislators.

Further conceptualizing the purposes and to provide a basic framework for the study, eight research questions and 10 null hypotheses were developed. To gather quantitative data and qualitative information, the investigator used a survey questionnaire and structured interview.

The study population consisted of all independent nonprofit or church-affiliated, nonproprietary, accredited colleges/universities in Region I of NAICU, with enrollments of at least 200 students, granting, at a minimum, a baccalaureate degree (212). Region I consists of the following states: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin.

The survey questionnaire was developed by the investigator from information gathered from a review of literature and research, and from her experience as an intern with the Association of Independent Colleges and Universities of Michigan. Of the 212 institutions, 149 (70%) returned questionnaires used in the analysis of data. Questions for the interviews with 17 (77%) Michigan presidents were developed from analyses of 104 returned questionnaires.

Major findings led to several conclusions, among which were:

1. There are common factors, internal and external to an institution, which clearly have an effect on the relationship of the independent sector and individual independent colleges/universities in Region I to state governments. However, the significant factor in both situations was the institution's membership in and the effectiveness of a state association of independent colleges/universities. The association's prominence surfaced in major findings to several

questionnaire items. Findings from interviews with Michigan presidents corroborated the necessity of a united approach before state legislatures.

2. It appears that the political role (at the state level) for presidents of independent institutions in Region I is one which is shaped and directed by the sector's need for a united approach. One crucial function for the independent college/university president is to become actively involved in the state association (if one exists). Another component of the president's political role is to develop and maintain personal relationships with state legislators from their institutions' districts. Neither proximity to the state Capitol nor high visibility in legislative halls is necessary for effective relationships.

3. Questionnaire responses and interviewee comments to the perceived effectiveness of tactics used to influence voting patterns revealed distinctions between effective and ineffective tactics.

4. The reported minimal use of support groups (trustees, administrators, faculty) and the very infrequent use of alumni and students are somewhat contradictory to suggestions found in the literature for enhancing political visibility and clout of colleges/universities.

5. Although statistically significant relationships were found between institutional state location and respondents' perceptions of the importance of selected factors in individual institutional-state relationships, no pattern of state groupings emerged.

© Copyright by

LINDA MARIE BEVILACQUA

1980

Dedicated to
my parents,
Nora and Michael Bevilacqua

ACKNOWLEDGMENTS

The successful completion of this doctoral dissertation and program of studies could not have been accomplished without the continuous support, encouragement, and expertise of many people. Although the appreciation, respect, and admiration I have for them cannot adequately be conveyed here, I publicly acknowledge their contributions as a small gesture of my gratitude:

The Dominican Sisters of Adrian, Michigan--for granting me a full-time study leave, for providing the financial resources for my education, and for their prayerful support. Special recognition is given to Sisters Nadine Foley, Catherine McKillop, Kathleen Therese McCann, and Mary Hrovat, and the Campus Community at Barry College, Miami, Florida.

Dr. Louis Stamatakos--adviser and dissertation chairperson, for his constant, enthusiastic support and encouragement; his timely questions; and his professional insight.

Dr. Richard Featherstone--for his sensitivity, availability, and willingness to listen.

Dr. Howard Teitelbaum--for his example of scholarly teaching and research and his patience with a struggling Statistics student.

Dr. Sam Moore--for the stimulation and challenge he provided in and out of the classroom.

Drs. Keith Anderson and Lawrence Foster--for their support and advice.

For special assistance with the dissertation I acknowledge:
John Gaffney, President of the Association of Independent Colleges and Universities of Michigan, and his staff

Dr. Marylee Davis, Assistant Vice-President for Administration and Public Affairs, Michigan State University

Martha Meaders, Reference Librarian, Michigan State University

Jo Grandstaff and Cindy Krisko, typists

Sue Cooley, dissertation typist

Sisters Betty Jenkins and Catherine T. Sibal, proofreaders

For their love, friendship, and confidence in me, I acknowledge:
my parents, Nora and Michael; my sisters and brothers,
Michael and Mary, Noreen and David, Olivia, and Joseph and Bunny
special friends--Candace Grout, Mary Ellen McClanaghan, O.P.,
Eileen McDonough, Eileen Olsen, Rita Schaefer, O.P., and Suzanne
Schreiber, O.P.

new friends--Dr. Jane Featherstone, Rev. Jake Foglio, Carol and
Ken Hopper, Dr. Horace King, Evelyn Piche, O.P., and George and Joyce
Wallman

the religious women with whom I lived--Sisters Anne Brooks,
SNJM, Ann Champagne, IHM, Betty Jenkins, O.P., Wen Li Jwuang, S.Sp.S.,
Donna Schlaff, O.P., Catherine T. Sibal, O.P., and Mary Wallo, O.P.

TABLE OF CONTENTS

	Page
LIST OF TABLES	viii
LIST OF FIGURES	xi
LIST OF APPENDICES	xii
 Chapter	
I. THE PROBLEM	1
Introduction	1
Statement of the Problem	2
Purposes of the Study	3
Significance of the Study	4
Design	4
Assumptions	6
Definition of Terms	7
Limitations of the Study	9
Organization of the Study	11
II. REVIEW OF SELECTED LITERATURE	12
Introduction	12
Independent Higher Education in the 1980s	13
Present Status of Independent Higher Education	14
Causal Factors	14
Selected Solutions	17
Independent Higher Education's Relationship to State Governments	19
Historical Background	19
Present Status	21
Higher Education-State Government Relations	22
The Participants	22
Factors Affecting the Higher Education-State Government Relationship	33
Methods/Techniques/Tactics of Relating to State Government Officials	43
Communication Between Educators and State Government Officials	48
Summary	51

	Page
III. RESEARCH DESIGN AND METHODOLOGY	57
Introduction	57
Development of the Study	57
Design of the Study	58
Study Population	58
Research Questions and Hypotheses	60
The Survey Instruments	62
The Questionnaire	63
The Interview	65
Data-Collection Procedures	66
The Questionnaire	66
The Interviews	68
Coding and Key punching of Questionnaire Data	70
Data Processing	70
Data Analyses	70
Significance Level for Questionnaire Data	72
IV. ANALYSIS OF QUESTIONNAIRE DATA	74
Introduction	74
Analysis of Waves One and Two	74
Profile of Respondents Using Selected Factors	76
Personal Profile	76
Institutional Profile	79
Major Findings of the Questionnaire Data	83
Introduction	83
Question I--Research Question 1	83
Question II--Research Question 5	85
Question III--Research Question 5	87
Question IV--Research Question 5	88
Question V--Research Question 2	89
Question VI--Research Question 6	95
Question VII--Research Question 5	96
Question VIII--Research Question 3	98
Question IX--Research Question 8	100
Question X--Research Questions 3 and 7	101
Question XI--Research Question 4	102
Summary	106
Results of Testing of Hypotheses	111
Hypotheses 1 and 2	111
Hypothesis 3	112
Hypothesis 4	123
Hypothesis 5	125
Hypothesis 6	126
Hypothesis 7	129
Hypothesis 8	132

	Page
Hypothesis 9	135
Hypothesis 10	136
Summary	137
V. ANALYSIS OF THE INTERVIEWS	139
Introduction	139
Profile of Interviewees Using Selected Factors . . .	139
Personal Profile	139
Institutional Profile	141
Major Findings From Interview Data	142
Interview Question 1	143
Interview Question 2	146
Interview Question 3	147
Interview Question 4	149
Interview Question 5	152
Interview Question 6	153
Interview Question 7	156
Interview Question 8	159
Interview Question 9	165
Interview Question 10	167
Summary	169
VI. SUMMARY OF THE STUDY AND MAJOR FINDINGS, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS . . .	173
Summary of the Study	173
Development of the Research Project	173
Purposes of the Study	173
Design of the Study	174
Study Population	175
The Survey Instruments	175
Data Processing and Analyses	177
Summary of the Major Findings of the Analyses of Questionnaire Data and Interview Information . . .	178
Profile of Respondents and Interviewees Using Selected Factors	178
Summary of Major Findings	180
Results of Testing of Hypotheses	198
Conclusions and Implications	203
Recommendations for Further Study	211
APPENDICES	216
REFERENCES	263

LIST OF TABLES

Table	Page
3.1. Frequencies and Percentages of Institutions in the Study Population by State	59
4.1. <u>t</u> -Test for Significant Differences Between Waves One and Two by Institutional Characteristics	76
4.2. Frequencies and Percentages of Educational Level of Respondents by Highest Degree Earned	77
4.3. Frequencies and Percentages of Presidential Tenure by Years in Office	78
4.4. Frequencies and Percentages of Respondents' Previous Presidential Experience	79
4.5. Frequencies and Percentages of Enrollment Categories of Responding Institutions	80
4.6. Frequencies and Percentages of Respondents' Distance From State Capitals by Mileage Categories	81
4.7. Frequencies and Percentages of Institutions in Study Population and Respondent Population by State	82
4.8. Frequencies and Percentages of Respondents per State by State	82
4.9. Frequencies and Percentages of Responses to Importance of Question V-e(2): Nature of Institution (Church Related or Non-church Related)	91
4.10. Frequencies and Percentages of Responses to Importance of Question V-e(2): Nature of Institution (Church Related or Non-church Related) by Type of Institutional Control	92
4.11. Frequencies and Percentages of Responses to Question V-d: Importance of an Institution's Reliance on Federal Monies	94

	Page
4.12. Frequencies and Percentages of Responses to Question V-i: Importance of President's Academic Preparation and Background	94
4.13. Frequencies and Percentages of Forms of Communication Used With District Legislators	96
4.14. Frequencies and Percentages of Respondents' Use of Support Groups	97
4.15. Frequencies and Percentages of Responses to Question VIII-f: How Often Respondents Sponsor Social Gatherings for State Government Officials . .	100
4.16. Frequencies and Percentages of Respondents' Percep- tions of Effectiveness of Method XI-b(1) and XI-j . .	105
4.17. Summary of Statistics for Hypothesis 3	113
4.18. Frequencies and Percentages of Responses by State to V-c: Importance of an Institution's Reliance on State Aid to Students	115
4.19. Frequencies and Percentages of Responses by State to V-e(1): Importance of the Specific Nature of the Institution--College or University	117
4.20. Frequencies and Percentages of Responses by State to V-e(3): Importance of the Specific Nature of the Institution--Enrollment Size	119
4.21. Frequencies and Percentages of Responses by State to V-g: Importance of Political Literature or Information Read by the President	121
4.22. Frequencies and Percentages of Responses by State to V-l: Importance of People Who Advise the President on Public Policy Matters	122
4.23. Summary of Statistics for Hypothesis 4	124
4.24. Summary of Statistics for Hypothesis 5	125
4.25. Frequencies and Percentages of Responses by State to VIII-f: Frequency of Sponsoring Social Gatherings for State Officials	127
4.26. Summary of Statistics for Hypothesis 6	128

	Page
4.27. Summary of Statistics for Hypothesis 7	130
4.28. Frequencies and Percentages of Responses by State to Effectiveness of XI-a: Attending Legislative Committee Meetings	131
4.29. Summary of Statistics for Hypothesis 8	133
4.30. Frequencies and Percentages of Responses by Presidential Tenure to Effectiveness of XI-a: Attending Legislative Committee Meetings	134
4.31. Summary of Statistics for Hypothesis 9	136
4.32. Summary of Statistics for Hypothesis 10	137
5.1. Frequencies and Percentages of Educational Level of Interviewees by Highest Degree Earned	140
5.2. Frequencies and Percentages of Presidential Tenure of Interviewees by Years in Office	141
5.3. Frequencies and Percentages of Enrollment of Interviewees' Institutions by Enrollment Categories .	142
5.4. Frequencies and Percentages of Respondents' Perceptions of Extending Personal Favors as a Form of Influencing Voting Patterns of State Officials . .	150

LIST OF FIGURES

Figure	Page
L-1. Frequencies of Study Population and Respondent Population by State	256
M-1. Frequencies of Respondent Population by Enrollment Categories	258

LIST OF APPENDICES

Appendix	Page
A. THE QUESTIONNAIRE	217
B. RELATIONSHIP OF QUESTIONNAIRE QUESTIONS TO RESEARCH QUESTIONS	222
C. INTERVIEW GUIDE, MAY-JUNE 1980	224
D. RELATIONSHIP OF INTERVIEW QUESTIONS AND QUESTIONNAIRE .	228
E. COVER LETTER TO MICHIGAN INDEPENDENT COLLEGE AND UNIVERSITY PRESIDENTS	230
F. COVER LETTER TO NON-MICHIGAN INDEPENDENT COLLEGE AND UNIVERSITY PRESIDENTS	233
G. FOLLOW-UP LETTER TO NONRESPONDENTS	236
H. LOG OF QUESTIONNAIRE RETURNS, APRIL 29-JUNE 6, 1980 . .	238
I. CODEBOOK	240
J. FREQUENCIES OF QUESTIONNAIRE RESPONSES	245
K. QUESTIONNAIRE RESPONDENTS	250
L. FREQUENCIES OF STUDY POPULATION AND RESPONDENT POPULATION BY STATE	255
M. FREQUENCIES OF RESPONDENT POPULATION BY ENROLLMENT CATEGORIES	257
N. RELATIONSHIP OF HYPOTHESES TO RESEARCH QUESTIONS AND QUESTIONNAIRE QUESTIONS	259
O. INTERVIEWEES	261

CHAPTER I

THE PROBLEM

Introduction

With the advent of the 1980s, higher education has entered what Sargent (1978) referred to as "the difficult decade." Besides the bleak and ominous forecasts of steadily rising costs, diminishing sources of income, leveling and/or declining enrollments, higher education is faced with carefully examining, critically evaluating, and cautiously nourishing its relationship to state government.

For the independent sector of higher education, the nature of its relationship to state government has become a crucial factor often related to institutional survival. Folger (1976) claimed that if maintaining a strong private sector is important, "new policies and new state action will be needed" (p. 6). Hollander (1978) stated that the way in which state aid is made available to independent institutions will be a determining factor in either their continuing or diminishing significance in American higher education. Howe (1979) reported that besides the efforts made by the independent colleges and universities to attract students and private funds, their survival will also rest on "their political effectiveness in influencing federal and state policies and appropriations" (p. 29).

Statement of the Problem

The literature of the politics of higher education was replete with references to the apolitical and antipolitical attitudes of educators. Frequent mention was made of frustration and, in some cases, of animosity between politicians and academicians (Budig & Rives, 1973; Halperin, 1974; Klebanoff, 1976; McNamara, 1975; Vasconcellos, 1974; Watkins, 1972). Authors noted the poor political skills and low-key political advocacy on the part of administrators and the timid and reserved use by colleges and universities of their political clout (Black, 1976; Gladieux, 1977; Millett, 1974).

According to Gove and Carpenter (1977),

the literature of higher education . . . does not discuss to any great extent the manner by which colleges and universities present their cases to state government and try to affect the development of government policy (p. 359).

Structures have been created to facilitate the political prospects of higher education, and a concern for the most effective and appropriate ways to defend and promote higher education interests has developed. However, determining which strategies are most effective necessitates careful research. Which people from the university are most effective in influencing which government officials using what methods (p. 372)?

Gove and Carpenter concluded that "further research is needed to clarify the relationship of . . . roles, targets, actors, and issues at the state level" (p. 372).

Carswell (1978) stated that "the politics of education is by far one of the most neglected areas of educational research" (p. 3). Murray (1976) said, "The politics of higher education continues to be a fascinating, significant, and unfortunately, ignored area of academic research" (p. 79).

A search of the Current Index to Journals in Education, the Education Index, and computer searches of Dissertation Abstracts and ERIC revealed virtually no research which specifically and directly pertained to the relationship of independent colleges and universities to state governments. Most of the research in the area of the politics of education focused on public school superintendents; administrators of public colleges and universities; perceptions of state legislators toward education, their public policy-making role; and communication styles between legislators and state universities or a state university system (Aronofsky, 1975; Borgestad, 1976; Corrick, 1975; Erwin, 1975; Glasser, 1968; Hartford, 1976; Hazard, 1969; Lott, 1975; Morford, 1975; Schlafmann, 1970; Vann, 1970; White, 1970; among others).

The lack of relevant research coupled with the investigator's keen interest in the politics of higher education led to the development of this study, which was endorsed by the Association of Independent Colleges and Universities of Michigan (AICUM) through its President, John Gaffney.

Purposes of the Study

1. To describe the relationship of selected independent colleges and universities to state governments in Region I of the National Association of Independent Colleges and Universities (NAICU): the key participants; the factors which impinged upon the relationship; the forms of communication, and the methods and tactics used by the colleges and universities to relate to elected state government officials, specifically, the Governor and state legislators.

2. To identify the effectiveness of a select group of methods and tactics in influencing the voting patterns of elected state government officials.

Significance of the Study

The significance of the study was based on the following points:

1. It will address a research need identified in relevant, contemporary research.
2. It will obtain information which may be of particular interest and use to presidents of independent colleges and universities.
3. It will provide information which may be helpful to the leadership and membership of state associations/federations/councils of independent colleges and universities.
4. It will provide information which may serve as a basis for comparison with the public sector of higher education or with other geographic regions of independent colleges and universities.

Design

To identify the key participants, methods and tactics, and the forms of communication which characterized the relationship of selected independent colleges and universities to state governments in Region I of NAICU, and to identify the factors which impinged upon the relationship, a survey questionnaire was mailed to the presidents of the institutions in the study population. The study population consisted of all independent nonprofit or church-affiliated, non-proprietary, accredited institutions of higher education in Region I

of NAICU, with enrollments of at least 200 students, which grant, at a minimum, the baccalaureate degree in the liberal arts, or the liberal arts and professional programs, or the liberal arts and teacher education programs. The following 11 states comprise Region I of NAICU: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin.

The survey instrument (Appendix A), with a cover letter of introduction and explanation, was mailed to the presidents of the institutions in the study population requesting their participation in the study. Survey instrument items were based on information derived from relevant literature and research, and from knowledge gained by the investigator during her internship with the Association of Independent Colleges and Universities of Michigan (AICUM).

The survey instrument was pilot tested prior to final publication and distribution. Participants in the pilot test were former presidents of Michigan independent colleges and universities.

A secondary research tool, a structured interview, was used to gather additional information of a quantitative mode. The investigator prepared a preliminary interview guide and pilot tested the questions in an effort to test their validity and to provide experience for the investigator in conducting research interviews. A final interview guide was developed following the pilot test and the return of approximately 100 questionnaires. The interview population for the study consisted of presidents of the Michigan independent colleges and universities in the study population.

After soliciting participation from the Michigan presidents and conducting the interviews, the data were analyzed by the investigator together with the results of the survey questionnaires. Major findings from the interviews and questionnaires are reported in summary, descriptive, and/or statistical format with accompanying narrative.

Assumptions

Following is an enumeration of the basic assumptions upon which this study was developed:

1. State governments will play an increasingly active and powerful role in the future of higher education.
2. Most colleges and universities in the independent sector rely and will continue to rely on state financial assistance, especially in the form of student aid, and most states will continue to provide such financial assistance to students in the independent sector.
3. A variety of factors impinge on the nature of the relationship between independent colleges and universities and state governments.
4. Since most independent colleges and universities do not staff a governmental or legislative relations office whose purpose is to serve as a liaison to the state or federal government, the president of the independent college or university is perceived to be the most qualified institutional representative to identify the nature of the institution's relationship to state government.

5. Most independent colleges and universities are members of a state association of independent colleges and universities.

6. There are legitimate and accepted techniques, methods, and tactics for use by individuals and/or groups who wish to initiate, maintain, and enhance relationships with elected state government officials.

7. The respondents will provide honest answers to the survey questionnaire and to the interview questions.

8. The respondent will be the one to whom the questionnaire was addressed, namely, the president of the independent college or university.

Definition of Terms

The following terms are defined in accordance with their use and meaning in this study:

Independent college/university--An independent nonprofit or church-affiliated, nonproprietary college or university governed by an independent Board of Trustees or Directors.

Accredited--Those institutions which are accredited by the North Central Association of Colleges and Schools.

State associations--Those associations, federations, or councils affiliated with the National Association of Independent Colleges and Universities (NAICU) which represent their member institutions in a specific state.

Region I of NAICU--One of five geographic regions of the National Association of Independent Colleges and Universities (NAICU).

Region I is comprised of the following states: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin.

AICUM--The Association of Independent Colleges and Universities of Michigan, Lansing, Michigan.

President--The chief executive officer of a college or university, appointed by a governing board, and charged with the overall administration and operation of the institution.

State governments--The office of the Governor and the legislative branches of a state government.

Elected state government officials--The Governor and state senators and representatives.

Governor--The elected head of any state in the United States.

Legislature--The elected body of state senators and representatives.

Legislator--A state senator or representative.

Legislation--Any matter or issue that requires the attention and consent of the state legislature and the Governor, and becomes a law when adopted.

Educational legislation--State legislation that has an impact on either higher education in general or independent higher education in particular.

Respondents--The presidents of the independent colleges and universities in Region I of NAICU who participated in the study by completing the survey instrument.

Interviewees--The Michigan independent college and university presidents who participated in the study by granting the investigator an interview. They may also be referred to as the Michigan presidents.

Investigator--The individual who originated the study, conducted the research and the interviews, and prepared the written results of the findings. The investigator may also be referred to as the interviewer.

Limitations of the Study

The limitations of the study were as follows:

1. The study was limited to a population of the independent nonprofit or church-affiliated colleges and universities in the 11 states which comprise Region I of the National Association of Independent Colleges and Universities (NAICU): Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin.
2. The population was further limited to those nonprofit or church-affiliated colleges and universities in Region I of NAICU which met all of the following criteria: nonproprietary colleges and universities accredited by the North Central Association of Colleges and Schools; enrolling at least 200 students; granting, at a minimum, the baccalaureate degree in the liberal arts, or the liberal arts and the professions, or the liberal arts and teacher preparation.
3. The survey and interview instruments were designed to gather appropriate factual data for the study. Data interpretation was

subject to the limitations generally associated with the use of such data-gathering techniques. Although the instrument and interview guide used in the study were developed by the investigator, the survey instrument was pilot tested (Chapter III), and those knowledgeable of questionnaire design in social science research were consulted and provided advice and assistance as did the executive officers of the state association of independent colleges and universities in Michigan (AICUM).

4. The study was limited by the degree to which the respondents understood the instruments and by the accuracy and honesty of their responses.

5. The literature review included ERIC and Dissertation Abstracts searches, books, periodicals, and documents on file in the Michigan State University Library and the State of Michigan Library, and books and materials owned or borrowed by the investigator.

6. Although data-gathering procedures were carefully considered and systematically planned, in order to insure an adequate return of the questionnaire from the study population, less than 100% was anticipated. While an adequate percentage of return was received, conclusions and findings cannot be accurately generalized beyond those who completed the questionnaire and participated in the interview. Representativeness was limited to those institutions which participated in the study. Nonparticipants may be different from questionnaire and interview respondents.

Organization of the Study

The study is presented in six chapters. Chapter I includes an introduction and statement of the problem; the purposes, significance, and design of the study; basic assumptions; definition of terms; limitations; and a statement of the organization of the study.

A review of selected relevant literature and research is contained in Chapter II.

The design of the study, methodology, instrumentation, and collection and treatment of the data comprise Chapter III.

The major findings from analysis of quantitative data are presented in Chapter IV.

Chapter V contains a presentation and an analysis of the information obtained from the structured interviews.

A summary and discussion of the major findings are included in Chapter VI, followed by implications of the study and recommendations.

CHAPTER II

REVIEW OF SELECTED LITERATURE

Introduction

The literature reviewed by the investigator for this research study centered on writings and research concerning: the future of higher education in general, and the future of independent higher education in particular; the politics of education with emphasis on the relationship between independent higher education and state governments; the role of the college/university president in the political process; the political process itself, as manifested in state government; and the perceptions of governors, legislators, educators, and others with respect to the present status and future directions for educational-political interactions, especially at the state level.

Besides a traditional manual search of the literature by the investigator, two additional approaches were used. A literature search was conducted through the computer retrieval sources of ERIC (Educational Resources Information Center), and a computer search of dissertations was conducted using the comprehensive dissertation query service of Xerox University Microfilms International. Both computerized searches were facilitated by staff of the Michigan State University Library.

Because of the volume of literature and information reviewed in the area of the politics of education, the investigator was selective

in the choices she made for inclusion in Chapter II. Given the purposes of the study as specified in Chapter I, the literature presented in this chapter is related to higher education-state government relations: the factors which impinge upon such relations; the participants in the relationship; and the techniques, methods, tactics, or activities which foster and hinder effective relationships. Accordingly, the literature presented in this chapter will not be concerned with the following topics related to independent higher education: the purposes, significance, or reasons for the survival of the independent sector; descriptions of the various forms of financial assistance rendered to the sector by the states; or arguments for or against state aid to independent colleges and universities.

Finally, it is noted that while most of the literature and research reviewed for this study centered on relations between publicly supported institutions and state governments, it is nevertheless presented especially since some of the content was used by the investigator in developing parts of the questionnaire.

Independent Higher Education in the 1980s

In Higher Education and the 1980s, Millett (1978) wrote:

As of 1977-78 higher education in the United States has entered upon a period of profound crisis. There is reason to believe that at a minimum this period of crisis will extend throughout the decade of the 1980s (p. 1).

Sargent (1978) labeled the future of American higher education as "enigmatic." Boston University's president, John R. Silber, said: "There are going to be academic ghost towns all over the country"

(U.S. News & World Report, May 29, 1978, p. 64). Magarrell (1980a) reported that "higher education is welcoming the 1980's (the 'not-me' decade) with a notable lack of enthusiasm" (p. 6).

Sabin (1974) surmised that if college presidents were asked to state the most important challenge to their institutions for the remainder of this century, "the majority would probably answer 'survival'" (p. 200). Bennis (1975) observed: "Today's supreme challenge for higher education is, quite simply, survival" (p. 20). The theme of survival was also mentioned by Harvey and Stewart (1975), Lyman (1975), Sawhill (1979), and Simmons (1975), among others.

Titles such as the following describe the current concern by some over the uncertain future of the independent sector of American higher education: "Does Private Education Have a Future?" (Bowen, 1971); "Private Institutions in Peril" (Cartter, 1972); "What Future for the Private College?" (Howe, 1979); "Private Colleges Cry 'Help!'" (Time, 1979); "Private Colleges Headed for Extinction" (USA Today, 1979); "In Defense of the Private Sector" (Lyman, 1975).

Benezet reported in 1977 that "since 1973 more than 150 studies have been counted that bear wholly or partially on problems of the private institution" (p. 201).

Present Status of Independent Higher Education

Causal Factors

According to contemporary educators, critics of higher education, and political scientists, the decline in the number of students enrolled in independent colleges and universities since 1950, and

the precarious future being forecast for many of those institutions are the result of interrelated economic, social, educational, and political factors.

The most frequently cited causes of the present condition of the independent sector were: the creation of community colleges, with very low tuitions, in small communities often served by an independent college (Sullivan, 1978, p. 31); scarcity of financial resources, especially meager endowments (Budig, 1977, p. 375; Muller, 1977, pp. vii-viii); double-digit inflation and the energy crisis (Edwards, 1978, p. 12); demographic trends; dwindling job prospects for college students; intensification of the competition for public resources (Breneman & Finn, 1978; Cheit, 1971; Jellema, 1973; Jenny & Wynn, 1970; A National Policy for Private Higher Education, 1974); decreases in federal funding; and flagging alumni support (Finney, 1975).

Cartter (1972) claimed that the primary cause for the problems of the independent sector (which are mainly financial) is "the pricing decisions made in the public sector," and if the situation is not sharply reversed "this widening differential between the costs of attending public versus private institutions" will cause many such institutions "to waste away or . . . of necessity become full charges of the state" (p. 146).

On July 21, 1980, The Chronicle of Higher Education reported that "the average tuition at private, four-year colleges and universities in 1980-81 will be "3,279, up 10.1 per cent from last year. . . .

The average tuition at public colleges and universities will be \$706, an increase of 4.4 per cent" (p. 1).

Average total costs for a resident student in a four-year private institution (room, board, tuition, fees, and other expenses) will be \$6,082, up 10.3%, and \$3,409 at public four-year institutions, an increase of 8.1% (The Chronicle of Higher Education, September 2, 1980, p. 10).

As projections are made regarding the future of higher education, it is abundantly clear that the independent sector which has already experienced declines in enrollment in the last two decades will, in the years to come, "be hit harder than public institutions" (Magarrell, 1980a, p. 6). Kerr (1979) said that the future of the private sector will be one of five key issues for higher education in the next decade. According to a report from the National Center for Education Statistics, "as many as 200 small, private, liberal-arts institutions" may close during the 1980s (Magarrell, 1980c, p. 1). President Kemeny of Dartmouth observed that "if present trends continue, about half of them [independent colleges] are going out of business" ("Private Colleges Cry 'Help,'" 1979, p. 38).

According to a report issued by the National Institute of Independent Colleges and Universities (1980), 141 independent institutions closed during the 1970s: 57 four-year colleges, 45 two-year colleges, and 39 specialized institutions (Fadil & Carter, 1980, p. 1).

Selected Solutions

A variety and a multitude of solutions for the meaningful and significant survival of independent colleges and universities were reflected in contemporary higher education literature (Bowen, 1971; Cartter, 1972; The Reports of the Carnegie Council on Policy Studies in Higher Education, 1970, 1971, 1973, 1975, 1976, 1977, 1980; Fisher, 1979; Howe, 1979; King, 1975; Lantz, 1975; Sawhill, 1979; Shulman, 1974; Silber, 1975, 1976; Simmons, 1975). While the majority of recommendations focused on self-help measures, many authors stated the necessity of additional government financial assistance, especially in the form of state aid to students.

According to Astin and Lee (1972), "the most obvious answer [to the problems of some independent colleges] is through outside aid, probably by the state" (p. 102). Howe (1979) proposed the need for "better informed and more equitable [state] policies" (p. 70). Pyke (1979) said that "without additional public support, the 1,500 private colleges and universities in America will drop to 170 in the next 30 years" (USA Today, February 1979, p. 8).

Lantz (1975) maintained that expenditures of money for student aid are "a critical factor in the future of private colleges" (p. 385), and he recommended that independent colleges solve their problems collectively. "The problem of student aid cannot ultimately be resolved by individual private colleges pursuing their own courses unmindful of the rest of the private sector" (p. 395).

The literature related to the future of higher education, including the future of many independent colleges in the 1980s, was filled

with references to the increasingly visible and powerful role to be played by state governments.

"Whatever changes may occur on the federal scene, state governments will continue to be powerful forces in determining the future of private colleges" (Howe, 1979, p. 29). Millett (1978) wrote that there are "scarcely any decisions of state government in the foreseeable future which will not have some impact upon the survival power of private colleges" (p. 23). In referring to the "difficult decade" (1980-90), Sargent (1978) said that "it would be difficult to describe, with accuracy, the future of higher education . . . for we do not know how the newest and most powerful force, the legislature, will affect higher education" (p. 467).

The final report of the Carnegie Council on Policy Studies in Higher Education (1980) forecast that "the period ahead will be a state [government] period in terms of new initiatives and responsibilities for the welfare of higher education" (The Chronicle of Higher Education, January 29, 1980, p. 10).

Hodgkinson (1979) took a forward look at higher education in 1985 and reported that "state government increased dramatically in size" and that "more power over the educational program came to be vested in the state" (p. 131).

Maeroff (1978) offered another forecast for the 1980s:

There will be a bitter fight for funds, and many of the battlefields are bound to be in state capitals. The private colleges and universities will try to lengthen the inroads they have made in convincing lawmakers to cut them in on a slice of the pie formerly served to public institutions only (p. 18).

Muller (cited in Howard, 1977), president of Johns Hopkins University, claimed: "Without state assistance many of the nation's independent colleges and universities will not survive as such" (p. vii).

Jenny (1976) warned that "the political decks may be stacked such that privately controlled institutions will die along the way as we march into the 1980s" (p. 47). MacLaury (1978) echoed Jenny's fears. In the Foreword to Public Policy and Private Higher Education, he wrote:

Leaders of private higher education fear that retrenchment will take place at their expense as they compete with state-subsidized institutions in a shrinking marketplace. Government --state and federal--will strongly influence the outcome of this competition, since both public and private sectors of higher education are highly dependent on the government for financial support, both direct and indirect (p. vii).

Independent Higher Education's Relationship to State Governments

Historical Background

More than 1,100 accredited, independent, nonprofit institutions of higher education exist in 49 of the 50 states enrolling close to two million students (Minter & Bowen, 1980). They vary in size, location, control, philosophy, programs, and the nature of their impact upon American higher education.

Independent colleges and universities trace their heritage to the founding of Harvard by legislative action in 1636, to be followed by the founding of William and Mary (1693), Yale (1701), and Princeton (1746). The colonial colleges, chartered by the states, were seen as public trusts, subject to state regulations, and were neither public nor private in the modern use of those terms. Sectarian

controversies following the American Revolution and the decision of the Dartmouth College case led to an undermining of the original colonial college system. State legislatures began to establish their own nonsectarian public colleges, controlled by state-appointed trustees, and specifically subject to legislative supervision (Berdahl, 1971; Jencks & Riesman, 1968, Chapter VI).

After the Civil War, the two systems of higher education began to diverge in significant ways. Whereas colleges in the colonial period and early national period had been recipients of state assistance in the form of permission to operate lotteries and the granting of lands, the opening of hundreds of small colleges forced the states to restrict and, in some cases, to withdraw their support to nonpublic institutions. In time, colleges identified with a religious denomination lost favor "as objects of public support," and "most states abandoned public assistance to the so-called private colleges, but the change was uneven and uncertain" (Rudolph, 1962, p. 188). Rudolph reported that as late as 1926 state legislators from Vermont, Maryland, New York, Pennsylvania, and New Jersey were still providing state support to their private colleges (p. 189).

At the end of the nineteenth century, private colleges "still enrolled over two thirds of all college and university students, but the public sector's share had begun to increase slowly but steadily, rising to about 50 percent by the 1930s" (Berdahl, 1971, p. 202). In 1950, independent colleges and universities accounted for 50% of the enrollment in higher education, 41% in 1960, and 22% in 1979. "If that rate of increase should continue until 1995, we would in

effect face the extinction of the independent sector of American higher education" (Howe, 1979, p. 28).

Present Status

According to Howe (1979), education is "the main business of the states, the largest single enterprise among their many responsibilities" (p. 29). Hollander (1978) noted the rapid increase in higher education's relative share of state budgets--"85 percent in the average state over the past decade" (p. 43).

Magarrell (1980b) reported that more than \$19 billion was appropriated by the states in 1979-80 for higher education (p. 8). The "Fact File" in The Chronicle of Higher Education (November 5, 1979) showed that "more than 1.2 million students" received scholarships or tuition grants and that "spending by states and territories for student aid in 1979-80 totaled \$852 million" (p. 11). According to Saffell (1978), "States spend more money on education than they do for any other single function" (p. 259). In addition, he said that "state funds account for about one-half the income of public colleges" (p. 263).

The National Association of State Scholarship and Grant Programs reported in its eleventh annual survey that the average award of state monies for students attending independent colleges or universities increased from \$986 to \$1,034 in the 1979-80 academic year. The total amount of dollars allocated by the states for students in the independent sector was close to \$502 million for 1979-80, representing 485,651 awards to students (p. 2).

According to Breneman and Finn (1978), "student aid programs continue to be the dominant mechanism for channeling state funds into private colleges, whereas direct institutional subsidies are the main form of state support for the public sector" (p. 88).

State aid to the independent sector generally takes the form of financial aid to students (grants and scholarships); other forms of assistance include general support grants to institutions, support for specific programs or purposes, and indirect assistance measures such as tax privileges for the institution (Benezet, 1976; Berdahl, 1978; Folger, 1976; Howard, 1977; Jonsen, 1980; Olliver, 1979; The States and Private Higher Education, 1977).

"When aid to institutions and to students are combined, state aid to private higher education appears as a growing but still small component of the budgets of both--states and the institutions" (Breneman & Finn, 1978, p. 90).

Higher Education-State Government Relations

The Participants

Background. Historically, the relationships between academicians and politicians have been colored by the stereotypic notions each has of the other.

McNamara (1975) reported that educators call politicians "blather-skites, compromisers, and opportunists" while politicians see educators as "stuffy, sanctimonious prigs who are out of touch with reality" (p. 144). Goodall, Holderman, and Nowlan (1971) said that university administrators viewed legislators as "provincial," not

"academically oriented or intellectually concerned," and often looked upon these characteristics "with disdain and disgust" (p. 37).

Communication between educators and government officials, so crucial to effective relationships, has been hampered and frustrated by mutual criticism and often deep-seated animosity. Budig and Rives (1973) observed that legislators feel that academicians are naive, and they resent naivete "when it appears coupled with obstinancy" (p. 64). King (1975) stated that educators have a "disdain for the tedious mechanics of the political process itself" (p. 122). Some educators fear they will lose their "academic virginity" if they become too involved in political matters (Watkins, 1972, p. 521).

Halperin (1974) summarized well the prevalent and most frequently quoted perceptions which educators and politicians have of each other. The most commonly expressed complaints by educators of politicians were as follows:

1. Politicians have a short-term view of the world. They seldom deal with the sophisticated interplay of social forces. They are too pragmatic and too quick to compromise issues of great importance.
2. Politicians politicize everything they touch and view education only in terms of political fortunes and outcomes.
3. The politicians' primary interest is in their own constituencies and their narrow sectional, ethnic, regional, or economic interests.

4. Politicians are poorly informed on educational issues. They seldom take the trouble to master the complex issues with which educators have to deal.

5. There is no continuity in the political process. Legislators pass a law and proclaim a policy but educators cannot count on its continued existence. Next year's legislature favors new programs or new fads or does not fund enacted programs. The understandings reached with education committee members are forgotten.

6. Politicians tend to be arrogant and often show contempt for anyone who is not a political peer (p. 189).

The complaints by politicians of educators, as reported by Halperin, were the following:

1. Educators are arrogant and sanctimonious. They frequently treat us (politicians) as petty creatures, not very bright, not very honest. They see themselves as responsible professionals but view us as political hacks.

2. Rarely do educators have the information we need to make sound policy.

3. There are few groups that speak less clearly, less concisely, and with more obfuscation. Instead of precise, comprehensible, here-and-now language, what we get is usually too olympian, too utopian, too abstract, or too fuzzy to be helpful.

4. Educators have little understanding of the legitimacy and importance of the political process. They view our difficult work of negotiating, compromising, balancing interests, and refining public policies as dirty, underhanded, or even immoral. Educators also run

counter to sound political practice by playing off their part of education against other educational interests. Instead of a united educational front, we are faced with warring factions. Educators often play up to the executive branch and take sides against the legislatures.

5. Educators only want more money. They seldom consider how to raise public revenues nor do they recognize many competing priorities.

6. Educators give lip service to accountability. They tell us they are professionals and we do not have to worry about their acting in a responsible manner.

7. Educators refuse to admit that they are promoting their own interests, economic and professional (p. 190).

Governors and legislators. Lockard (1966) observed that "politics is played by ear and intuition, not from a well-marked sonata score" (p. 160). Greenwald (1977) described the American public policy-making process as "fluid, incremental, open-ended, disorderly . . . an incoherent maze" (p. 10).

In order to better understand the politics of higher education, one must know who initiates or shapes the policies affecting higher education. The focus must be on the actors in the process (Murray, 1976, p. 80).

According to Budig and Rives (1973),

the knowing president will maintain open communications with the governor and selected legislative leaders, such as standing committee chairmen, ever mindful of the chief executive's power of budgetary recommendation and veto and the legislature's ultimate power of appropriation (p. 65).

Levitt and Feldbaum (1973) reported that the governor is responsible for presenting the budget to the legislature "in more than 80 percent of the states," and in the other 20% "the budget is prepared by a group that may or may not be subject to control by the governor" (p. 229).

Folger (1979) communicated the results of a study conducted by the Education Commission of the States on the formal relationships between the governor and education at all state levels. The study revealed that in the past 20 years "the state role has expanded greatly," that governors and legislatures are becoming more active "in monitoring and pinpointing accountability for the implementation of education-related programs," and that the governor is "the key figure in the development of the budget in all but a handful of states" (p. 30). Folger concluded that in the 1980s "the relationship of governors and legislators to education will probably change in the direction of . . . more requirements for accountability" (p. 31).

Besides influencing education through the budgetary process and signing bills into law, the governor, often the only full-time state official elected at large, has "the discretion to create blue ribbon commissions to study particular problem areas" (Levitt & Feldbaum, 1973, p. 117).

The opinions and beliefs held by governors of 35 states regarding higher education were surveyed by Budig (1977). Their comments regarding independent higher education were as follows:

Three-fourths of the governors expressed concern about the future of private higher education, favoring some increase in state aid for private colleges and universities. Convinced

that private institutions are an essential part of the total system of higher education, they favored direct aid to the students, not to the institutions. They supported the continuance of private higher education because of its role in offering institutional alternatives, student choice, and needed program diversity (p. 375).

Budig and Rives (1973) claimed that, while in the last 10 years "governors have been more receptive than legislators to the legitimate needs of higher education," it would be unwise for college and university administrators to focus on governors to the exclusion of legislators (p. 65). In the years ahead, "the college president should be careful not to alienate either the governor or the legislator because the scale of power in state government is tipped easily" (p. 66).

Gaffney (1980a), President of the Association of Independent Colleges and Universities of Michigan (AICUM), said that the key state government officials for the independent sector are the governor; the legislative leadership (by position and by influence), particularly the chairpersons of Appropriations Committees and Appropriations/Education or Higher Education subcommittees; members of Appropriations and Education Committees; and the state senators and representatives from the institution's district.

College and university presidents. According to Gove and Carpenter (1977), among those who speak for a college or university as a legal entity, "the university president is considered the key person in the effort to influence state government decision making"

(p. 368). Carswell (1978) reported that his review of the literature "revealed virtually no research regarding the college president's political role" (p. 7).

While almost all authors who addressed the various roles of the American college president emphasized the educational leader role, several mentioned the role of the president in political or governmental affairs.

Hemphill and Walberg (1967) maintained that "the president must play a key role in . . . securing governmental understanding and support" (p. 4).

Coons (1967), a former college president, observed: "The president is wise not to be an ardent political partisan, but he must not be a neuter. Each president has to find for himself the amount of time he devotes to political activity" (p. 70).

Kauffman (1974) noted that since the allocation of public resources for public colleges and universities has become so integral to the political process, "effective political leadership becomes a crucial qualification for those who would head public institutions" (p. 8). Dodds (1962) said that the presidency of a state college or university called for "a certain political savoir faire" (p. 20).

Watkins (1972) recommended that educational leaders not delegate their responsibility of working with state government officials to a professional lobbyist. While veteran lobbyists "can be of immense assistance," their work will not be successful "without the active participation" of those for whom they work (p. 521).

Sheehy (1972), who studied the relationship between Big Ten and Big Eight administrators and state executive and legislative leaders, suggested that, in the future, relations with state governments will depend on a new type of college president, one who can deal skillfully with state officials and who is able to select capable assistants who perform well as his/her representative.

Sheehy also found that administrators in both conferences designated a central staff administrator to deal with routine governmental affairs and responsibilities.

Stoke (1959) compared the job of the public college president who lobbies or placates legislators to the independent college president who must cultivate private donors. He said there really was no difference. "The one must avoid too much political compromise, and the other must resist the attachment of humiliating or fatal strings to private benefactions" (p. 58).

Gaffney (1980b) defined the political role of the independent college or university as follows:

The independent college or university president should:

1. be actively involved in the state association of independent colleges and universities [if one exists] by helping the association establish a good platform for public policy issues;
2. develop personal relationships with district legislators so that they know your institution and its programs. The more they know, the better they will feel about your institution, and will act accordingly in the legislature.
3. be cooperative, and encourage college staff to be cooperative, in responding to legitimate data or information requests made by state officials or the state association. Cooperation is critical.

Lobbyists. "Majority causes, broadly speaking, do not need lobbies. Most successful lobbies represent minority opinions, and enforce policy-making decisions to which most Americans are either opposed or indifferent" (Howe & Trott, 1977, p. 5).

In addition to working individually to establish communication with state government, private colleges have formed state organizations that in many cases have lobbied extensively and successfully for years. Their primary purpose is to gain state financial support for their member colleges, preferably in the form of direct grant assistance (Gove & Carpenter, 1977, p. 369).

Gaffney (1976) defined a state association of independent colleges and universities as "an instrument created by and composed of individual and autonomous institutions [independent] joined together to achieve common benefit." "The first priority of a state association should be to achieve the collective goals of its member institutions" (Gaffney, 1980b).

According to Olliver (1980), Vice-President of the North Carolina Association of Independent Colleges and Universities, "the first priority of them all [the state associations] is lobbying."

Although a few state associations are administered by a member college or university president, most associations have a full-time director (sometimes designated as the executive secretary, president, or executive director) "to coordinate its affairs and pursue its interests in the state capital" (Howe, 1979, p. 31).

State associations vary in founding date, reasons for establishment, title, functions, number of staff, budget, and objectives. The state associations are autonomous organizations whose directors

form a State Association Executives Council (SAEC). According to Berdahl (1978), in 1960 there were fewer than 10 state associations. The 1980 edition of the National Association of Independent Colleges and Universities (NAICU) listed 42 state associations, representing 41 states and the District of Columbia. A state association exists in each of the 11 states represented in the study population of this research project.

Gove and Carpenter (1977) reported that state associations of independent institutions

are strong lobbies in many states. . . . The effect of the private college lobby varies widely from state to state, depending primarily on constitutional provisions, tradition, and the number of private colleges in the state. However, it is safe to say that many state associations have had a major effect on the higher education policies of their states (p. 369).

Lantz (1975) addressed the essential need for a united effort among independent institutions:

Colleges in the private sector must face problems collectively, not individually. . . .

The colleges of the private sector must form a united front. There are unique problems in the private sector and these must be presented and explained convincingly to legislators and the public at large (pp. 395, 396).

Other support groups. Besides the involvement of college and university presidents, several authors mentioned the participation of campus constituents (faculty, administrators, students, trustees) in institutional-government relations.

Nowlan (1976) said that "trustees are often respected regional or at least community leaders who have sensitive and well-developed relationships with political leaders, including legislators" (p. 11).

As noted earlier, Sheehy (1972) studied the relationship between chief administrators of Big Ten and Big Eight state-supported institutions and the executive and legislative leaders in state government. One of the recommendations in his study was that trustees be encouraged by their presidents to become more involved in state governmental affairs.

By organizing themselves, the Illinois Community College Trustees Association "created a unique instrument for making their local influence felt in the capital" (Gove & Carpenter, 1977, p. 370).

Gaffney (1980b) said that trustees were used occasionally by the Michigan state association to support the independent sector's position or an individual member's position regarding a public policy issue. If such involvement is deemed necessary or useful, Gaffney preferred "one on one involvement," i.e., one trustee who knows and is willing is asked to call or visit a particular senator or representative.

Carswell (1978) found that legislators and presidents of state-supported institutions agreed that a college president should encourage board members to express their views to legislators.

According to Gove and Carpenter (1977),

Faculty members have been involved in official lobbying activities, but in a limited capacity and with mixed results. Although they are sometimes very effective in making presentations related to their own special expertise, faculty members are considered amateurs in areas such as selling the university budget where they may do more harm than good (p. 371).

Henderson, as reported in Gove and Carpenter (1977), noted that "student lobbies are now active in twenty-eight state capitals" and are financed and controlled by students (p. 371).

They vary widely in the size of their staffs and budgets. The New York student lobby, for example, has eight paid employees and an annual budget of approximately \$70,000 (p. 371).

The student lobbies are organized to take stands on specific issues on a nonpartisan basis. These issues have primarily dealt with money (financial aid and tuition levels) and with opening up the political system (eighteen-year-old vote).

The student lobbies have had a considerable effect on legislative decisions, although many observers believe that nowhere have they scored an unqualified success (p. 372).

Students in the independent sector are represented in Congress by the Coalition of Independent College and University Students (COPUS), whose executive office is located in Washington, D.C. Founded approximately five years ago, COPUS not only lobbies at the federal level but also encourages and assists in the formation of state lobbying associations of independent college and university students. According to Leifman (1980), National Director of COPUS, at the present time there are 10 such state associations. (Of the 11 states represented in the study population of this research project, 3 have state associations of independent colleges and university students--Illinois, Minnesota, and Wisconsin.)

Factors Affecting the Higher Education-State Government Relationship

Common factors. Noting that the differences among state legislatures are "striking," Lockard (1966) suggested that the following

common factors should be considered when referring to legislative functions:

1. political, social, and economic conditions in the state
2. legislative traditions and practices
3. the question or issue before the Legislature
4. possible solutions to the questions
5. distribution of power
6. the actors (legislators, interest groups and their representatives, governors, parties and party leaders, bureaucrats, and various "publics")
7. political party influence

Levitt and Feldbaum (1973) observed that the state legislative rule-making function is limited by the following factors: "the national constitution, national laws and treaties, federal court decisions, state constitutions, and decisions of state courts" (p. 202). Besides noting some of the factors mentioned by Lockard, Levitt and Feldbaum discussed the following informal factors that affect legislative rule making: roles (how a legislator acts or how others expect him to behave or how he believes he ought to behave); parties and factions; caucuses within the legislature; informal intralegislative groups; and informal legislative rules and sanctions (pp. 222-26).

Saffell (1978) specified the following factors outside the formal state government structure which affect the public policy-making function: the physical environment of the state, economic factors, population size of the state, political culture of the state, sectionalism, and constitutional-legal limitations (pp. 4-10).

Sectionalism was defined as "some persistent political similarities among adjacent states. Sharing a common cultural, economic, and historical background, states within particular areas exhibit clearly identifiable tendencies" (p. 10).

It is noted that the 11 states represented in this research study, the North Central states minus Ohio, are often referred to as the Great Lakes and Great Plains region, and represent a blend of industrialization, urbanization, and agriculture. Saffell reported that this region was above average in wealth and reflected strong two-party competition. He also stated that the region is the least homogeneous of the other sections in the country because it "borders on each of the other three sections and thus some of its regional areas share the characteristics found in other sections" (p. 12).

Breneman and Finn (1978) observed that when the United States is divided into regions, the Great Lakes proportion of independent colleges and universities to total institutions equaled 56% (p. 22).

Factors specific to independent higher education-state government relations. Gaffney (1980a) enumerated the following factors which he believes have some bearing on the relationship of the independent sector to its respective state government (with no order implied):

1. The existence of a state association of independent colleges and universities

2. The personalities of the presidents of the independent institutions

3. The quality of personal relationships developed by the independent presidents with state officials, especially district legislators

4. The location, stature, and reputation of the independent institutions, and the services which they render through their academic programs, to the citizens of the state

5. The state Constitution

6. That which is expedient for a state legislator at a particular time

7. The merits of the issues, proposed legislation, regulations, etc., which pertain to independent higher education

8. The past performance of the staff and membership of the state association in responding to the informational needs of the governor or state legislators

9. The number of independent colleges and universities in the state and their student enrollment

Gaffney (1980b) maintained that for independent colleges and universities, the state association is "absolutely essential" for two reasons:

1. Unification adds strength [to the efforts of the sector in the legislature].
2. Unification is so counter to what the public sector does that it becomes a very effective approach [to state government officials].

Gaffney (1979) also commented that the role of a legislative specialist or government liaison for most independent colleges would be "very detrimental in the independent sector. One of the advantages I have [as lobbyist for the sector] is collective representation."

The characteristics of independent college and university presidents which may have an impact on the relationship to state government officials, according to Gaffney (1980a), are:

1. personality
2. political awareness and experience
3. tenure in office
4. relationship to the state association and involvement at its executive level or membership in association committees or subgroups.

"Personality," said Gaffney, "is not a matter of extrovert or introvert. It is a matter of can and how the president relates to people." It is essential that the independent college or university be a trustworthy individual in dealings with state officials.

The quickest way to get in disfavor with the governor or legislators is to lie or even to exaggerate. This is a business of integrity. If you've lied or exaggerated, no decision maker can trust you. And if they can't trust you, they can't help you (Gaffney, 1980a).

Millett (1974), who was president of a state university for 11 years and chancellor of a state public higher education system for eight years, felt that his background in political science and in public administration had positive bearing on his understanding

and performance in both positions and his relationship to government officials.

Eulau and Quinley (1970) reported from their study of 88 legislators and 14 governors in nine states that legislators from states with larger proportions of students enrolled in independent institutions "were generally more concerned about the financial problems of private schools and more receptive to some type of direct assistance" than legislators from states with smaller enrollments (p. 96).

While many independent institutions are church-affiliated, Howard (1977) stated that, regardless of that factor, the constitution of each state is a factor to be considered since "some state constitutions jealously guard any diversion of public moneys to the private sector" (p. xii). Lockard (1966) also noted the importance of the state constitution and said that "the differences between them are so great that nearly any generalization has to have within it an implied set of exceptions" (p. 83).

Legislators and the legislature as key factors. Berdahl (1978) said that one of the most influential factors in the future of higher education in the halls of state legislatures will be the legislators.

Perhaps the strongest set of variables is the personal style, political ideology, and dominant values of a state's political leaders. Historical and demographic conditions, public opinion, higher education leadership, and state structures of government are not to be discounted, but increasingly the dominant forces in higher education policy will be those related to elected officials (p. 351).

According to Saffell (1978), the primary functions of legislators are as follows:

Individual legislators must represent the interests of their constituents. They provide service functions by helping people in their dealings with state and administrative agencies and answering other personal requests. Legislators also respond to demands for policy making and explain voting decisions to their constituents. Legislators review and evaluate actions of the governor and they oversee the administration of state programs (p. 119).

Budig and Rives (1973) recommended that college presidents be aware of the fact that state legislators are no longer representing rural areas, that "reapportionment has triggered dramatic change in legislative composition, interests, and priorities" (p. 64). In the last decade, legislative chambers have been filled

with an ever-increasing number of people who are well informed about the problems of higher education because they themselves have experienced college and have sons and daughters who are participants in higher education. In some states the number of college graduates serving in legislative bodies has increased by more than one third (p. 64).

Rosenthal (1974) noted that "legislators are more independent, moralistic, aggressive, and issue oriented" than in the past (p. 3).

Besides considering who the legislators are as persons and as a group, and their functions, many authors recommended that educators have a clear and thorough understanding of how legislators perform their functions, of how state legislatures work. These are two factors which impinge on educator-politician relationships.

One factor to be considered in the functioning of the legislature is the structure and role of standing committees and subcommittees. Because legislators are generalists who are trying to make decisions in various and numerous areas of specialization, "American legislatures traditionally do most of their work through

committees" (Adrian, 1963, p. 59). "The committee is the key group in the legislative system" (p. 60).

Nowlan (1976) reported that the effectiveness of a legislative committee is "closely related to the regard in which it is held by other legislators" (p. 21).

While titles and specific functions may vary, most state legislatures have a committee or subcommittee in one or both houses which addresses education matters in general, or higher education matters in particular. Rosenthal (1974) stated: "The day has passed when the governor and a few legislative leaders can get together with representatives of education and agree on matters. Leaders are depending on their education committees for policies and programs" (p. 3).

Eulau and Quinley (1970) reported that in states where legislators play a key role in determining appropriations for higher education,

both formal and informal requests . . . tend to be channeled to the individuals who occupy the crucial gate-keeping positions in the legislative hierarchy--particularly chairmen and senior members of committees or subcommittees dealing with taxes and appropriations (p. 42).

Goodall et al. (1971) also mentioned the changes taking place in the structure and functioning of state legislatures, and noted the increasing importance of specialized legislative staff

to provide astute legislators with the background needed to deal competently with the crucial issues of higher education. . . .

The university might be prudent to help cultivate the legislative specialist in higher education, not in the selfish hope of co-opting him but to provide the interested and perceptive legislator with policy information that all legislators would not or could not absorb, thus building depth of understanding within the legislature. A lawmaker will more readily listen to a peer than an outsider (pp. 39, 40).

Besides being aware of the intricacies of how legislatures function, educators need to be conscious of the influences on individual legislative decision making.

Davies (1975) said the following factors guide a legislator in making a decision on an issue: their general education, their common sense, their instincts, their biases, and the information and advice they receive. Davies also said that "how one lobbies a legislator depends upon the character and personality of the legislator. Some legislators relish all the attention they can get" (p. 48).

Along with personal philosophy, Norwick (1975) mentioned the following factors as also influencing a legislator: the bill's effectiveness (whether it can achieve its goals or can work), fiscal implications, constitutionality of the issue, personal considerations (who is sponsoring the bill), political parties' positions, organized support or opposition, and floor debate on the bill. He claimed that

probably the single most influential factor to most legislators in deciding how to vote on a bill is the wishes of their constituents, especially those who have the most influence and power. . . .

A second factor legislators consider, one that is closely related to the views of their constituents is the extent to which a vote for or against a bill will help or hurt during their next election campaigns. Incumbent legislators have many advantages over their challengers, but they also have the disadvantage of having to explain and defend every controversial vote they cast (pp. 70, 71-72).

Norwick also observed that the basis for the voting of some legislators is the "direct or indirect financial benefit they did or expect to receive for their votes" (p. 74).

Smith (1979) stated that legislators decide on how to vote on a bill "by relying upon others whose opinions and knowledge they

trust" (p. 4). Ferguson (1960), in his study of factors which influenced the perceptions of 422 legislators in four states, found that the most reliable educational information they received was from education officials and educational associations.

Legislators' need for information. Lowery (1966), in his study of the search process of the Education Committee of the California legislature, found that legislators knew their limitations in educational issues and sought information from reliable sources.

Legislators, although being generally intelligent and perceptive men, are not well informed about the subtleties of educational problems and issues. Therefore, the details, the ramifications, and the full effects of complex educational legislation are not as visible to them. Thereby in their decision-making process they generally look beyond their own experiences for data (p. 182).

Kimbrough (1964) reported that "some of the most disastrous failures occur [in legislatures] because attempts to initiate educational policies are made without factual support" (p. 278).

As noted earlier in this chapter, numerous authors mentioned the often-repeated complaints made by legislators about their relationships with educators. Many of those complaints were related to the legislators' unmet needs for relevant, complete, reliable, and accurate educational information.

Bailey (1974) reported the complaint of one elected official: "Our data base is shockingly inadequate. Responses to responsible political questions tend to emerge too late and in too pretentious and inutile a form" (p. 9).

Nowlan (1976) conducted a study of the politics of higher education in Illinois when he was a member of the Illinois House of

Representatives. He reported that two out of every three legislators in the study felt they did not receive adequate information to make intelligent decisions on higher education legislation. Among the reasons given for the inadequate information were the following: Subjects were too detailed for the time available; formats were not easy to understand; personal contacts with institutional personnel were inadequate.

A state legislator, Vasconcellos (1974), said that inadequate information leads to mistaken notions about what higher education is and what it ought to be doing.

Howard Klebanoff, another state legislator, wrote in 1976 that educators accuse legislators of not knowing or understanding educational issues, but, he added, legislators lacked the factual information on which to make complex legislative decisions.

Methods/Techniques/Tactics of Relating to State Government Officials

Since state lobbying for the independent sector of a state is generally a responsibility of a state association of independent colleges and universities (as noted earlier in the chapter), the literature which clearly pertained to the purposes, styles, and characteristics of effective formal lobbying will not be presented. A sampling of other techniques, methods, or tactics noted in the literature follows.

Blount (1976), a state senator, gave this advice to educators who are actively involved with government officials: "Educators, your

best bet is to work with legislators to gain their confidence. This is the way to win them over for your programs" (p. 3).

Vasconcellos (1974) encouraged educators to be more active in getting to know legislators. "Call our attention to the kinds of experiences, information, and personal contacts that would enable us to make better decisions about education" (p. 4).

Klebanoff (1976) urged colleges and universities to "take the lead in defending their roles, missions, and goals" while at the same time manifesting an awareness of "the changes taking place in government, in society, and in student needs" (p. 11).

Jenny (1980) suggested that colleges and universities use a coordinated effort in working with state legislatures especially in the area of data collection and presentation. Furman (1978), executive director of the Illinois Board of Higher Education, also recommended united efforts, especially since higher education does not have the "visibility and muscle" to compete with elementary schools. He recommended that all segments of higher education--independent, public, and the community colleges--"reduce the infighting, unite as a common front and then get into the legislature, get through the legislature, and get out of the legislature" (p. 5).

Smith (1979) suggested the efficacy of attending legislative committee meetings.

Legislators, like others, respond to attention. Public pressure applied through personal attendance at committee meetings and floor debate leads to improvements in deliberative procedures (p. 90).

Gladieux (1978) remarked that colleges and universities fail to make use of the political resources at their command, to use their political clout.

There are massive numbers of alumni, trustees, and administrators, not to mention faculty and students, who are affected by governmental action toward higher education. The potential power base of colleges and universities is relatively untapped (p. 272).

Use of college constituents (trustees, faculty, administrators, students) as support groups in the political relationship between educators and state government officials can be a form of grass roots pressure or assistance from intermediaries. Blount (1976) encouraged educators to use people who support their causes, and to encourage them to contact their district legislator regarding the educational issue under consideration. This approach is effective "whether you are supporting or opposing a bill" (p. 3).

On the other hand, Budig and Rives (1973) reported that some governors and legislators were "rankled" when college and university presidents "deployed campus forces at budget time to persuade the electorate," and that, on occasion, such tactics had been viewed by government officials as "blatant propaganda." Politicians questioned "the propriety of using faculty and administrative staff for the purpose of lobbying citizens and pressuring legislators" (p. 63).

In commenting on the accomplishments of the independent sector at the Michigan State Capitol, Gaffney (1976) said:

We have not accomplished what we have accomplished in Michigan because we created a state association. We have accomplished what we have accomplished because presidents, trustees, alumni, administrators, deans, faculty members, and students have been willing to get involved in the political process.

Regarding grass roots pressure through letter writing or telephone campaigns, Gaffney (1980b) said:

We have done very, very little of this because we're so vastly outnumbered by the public university sector and the community college sector [in the state of Michigan]. We've been careful not to arouse public antagonisms by engaging in letter-writing campaigns and telephone campaigns.

In a luncheon address before CASC, Gaffney (1976) delineated a number of methods, techniques, or tactics which he recommended to educators who want to involve themselves "in a forthright and honorable way."

Be supportive of those public policymakers who recognize the value of the existence of the independent sector, who recognize the merits of freedom of choice, and who are not afraid to stand up and be counted. Be friendly to, but be critical and non-supportive of those who steadfastly refuse to recognize the value of our existence. . . .

How can we be supportive? Again, simple. Help friends to become elected. Create opportunities for them to be on your campus with your faculties, with your students, at your commencement. Take them to lunch; have them to dinner; walk them through your campus, let them chat with everyone.

Being political is not a dirty process. Not being involved is the sin of omission.

Let them [legislators] know about your constituency: the numbers in your student body, faculty, your board, your alumni. These are all potential voters.

A former independent college president suggested the following methods for maintaining effective relationships with legislators:

Invite them to your institution. Apprise them of your programs and needs. Involve them in institutional functions such as Commencement exercises or Founder's Days. . . .

Research their areas of specialty. Know what committees they serve on. . . .

Legislators have pet projects. Give them an opportunity to speak about these projects with students or faculty. . . .

Involve your district legislator in some of your problems, but cautiously, so you don't look as if you're always expecting someone else to bat for you (Danatha, 1980).

Niess (1966) studied the forces which influenced legislators on educational issues in Missouri and reported that personal contact and relationships with legislators were the most frequently used and the most effective method of influencing educational legislation. Several methods were found to be ineffective: stimulated mail, methods involving a threat or intimidation, and contacting legislators outside of one's district.

In a study of forces and techniques which influenced educational legislation in Colorado, Ness (1966) found that personal contact by constituents from the legislator's home district was the most effective technique, and stimulated letter-writing campaigns were considered least likely to gain support of legislators.

Carswell (1978) studied the opinions of presidents/chancellors in four-year state-supported colleges and universities, and legislators (in Georgia, Louisiana, Maryland, Mississippi, and North Carolina) regarding the role of the president/chancellor in state legislation. His instrument covered 24 political activities in which a president could engage prior to general elections, prior to the convening of the state legislature, while the legislature was in session, and miscellaneous political activities. Presidents and legislators agreed that the president should engage in the following miscellaneous activities:

1. invite legislators to visit the campus in an effort to improve relations with them
2. be thoroughly familiar with the legislative process, especially how a bill is passed

3. read articles and bulletins which explain issues
4. discuss educational issues with legislators
5. personally contact legislators representing their district
6. volunteer to speak to educational committees to explain or answer questions regarding budget requests (pp. 91-98).

Presidents and legislators were in disagreement with the statement that presidents should contact legislators supportive of higher education. More presidents than legislators agreed with the statement but the opinions of both groups were split (p. 97).

Communication Between Educators and State Government Officials

In an earlier section of the chapter, references were made to the legislators' needs for accurate, relevant, and reliable information from educators as they review proposed educational legislation and make decisions regarding appropriations and policies. Other references noted that the quality and timeliness of communications are factors which affect the relationship between higher education and the legislature.

Most of the research pertaining to communication with legislators focused on perceptions of legislators, educators, and/or professional lobbyists (Busta, 1978; De Pree, 1971; De Vries, 1960; Levitt & Feldbaum, 1973; Milbrath, 1960).

Eulau and Quinley (1970) said that "the comments of many legislative leaders [in their study] suggested that they were happiest when they could find out about the needs of the colleges and universities on a relatively informal, firsthand basis" (p. 47).

They reported that many legislators valued visits to campuses and personal conversations with faculty and administrators. A Kansas state senator was reported as saying:

One school has made its needs known directly to me as chairman of a committee. And I have taken the committee down to view the problems firsthand. I think this is by all odds the best way to get information to us. . . . We are better able to deal with a problem if we have actually seen it, rather than see it in a fiscal report (pp. 47-48).

Eulau and Quinley reported that the same senator suggested that legislative campus tours with meals and entertainment could "provide legislative visitors with more useful firsthand information" (p. 48). While entertaining or inviting a legislator to lunch or dinner may be considered subtle bribery by some, Levitt and Feldbaum (1973) noted that "it is quite likely used more frequently to make friends than to obtain promises of votes" (p. 114).

Eulau and Quinley also reported that a Texas legislator on the House Appropriations Committee recalled frequent contacts with colleges and universities:

As a general rule, [I receive information] through talking with the individual presidents of the schools, sometimes the dean or a member of the board of regents or whatever kind of governing board they have. I have individual conversations with all of these people. . . . I have visited every campus in the state of Texas, and I have seen firsthand the condition of their physical situation. And I have rather close contact with all of the administrators (p. 48).

The complaint of a Texas lawmaker who had no personal contact with colleges and universities was also cited by Eulau and Quinley:

In my estimation, higher education people seem to pretty well talk to themselves. They don't talk to me. . . . This is really hard to take. Unless you go out of your way and really become interested, you really don't find out what the problems

are. I think that the college professors as well as the college administrators ought to have us on their mailing list (p. 48).

In Michigan, Gaffney (1980b) said he encourages the presidents in the independent sector to develop personal relationships with legislators from their institutions' districts and recommends that they invite the legislators to visit their campuses. He does not usually recommend that the presidents call, write, or invite government officials to lunch or dinner until a good personal relationship has been established, or if the state association deems such forms of communication are necessary or warranted, given political or legislative developments.

In his study of superintendents in Iowa, Dunkin (74) found that the most frequently used techniques for contacting district legislators were motivated letters, telephone calls, and personal interviews.

Carswell (1978) found that legislators and presidents/chancellors agreed that presidents should communicate with legislators face-to-face when possible, because it is more effective than telephone calls or written communications.

The quality and calibre of the communications between educators and government officials, while the subject of frequent criticism from both groups, was also the subject of literature related to improving relationships between the two groups.

Smith (1979) corroborated Gaffney's earlier remarks (see page 37): "There is no place where personal integrity is more relied upon and more appreciated than in the legislature" (p. 10). Watkins

(1972) wrote of the need for mutual good-will, respect, and gratitude from academic leaders.

Goodall et al. (1971) said that "the university should recognize that a policy of openness and candor is to its own benefit in the long run" (p. 39).

In 1974, Millett stated higher education needs "political spokesmen . . . who can understand the glory of higher education but can talk the language of practical politics" (p. 143).

The Committee on Government and Higher Education reported that the institutions which had a successful and harmonious relationship with state government were those whose presidents and trustees willingly, openly, and freely reported their use of public funds to legislators, state executives, and the public (The Efficiency of Freedom, 1959, p. 24).

Summary

Although most of the literature and research related to the politics of higher education referred to the public sector, it was, nevertheless, reviewed by the investigator for purposes of comparison with the independent sector and for development of parts of the survey questionnaire. Given the specific purposes of this study (as noted in Chapter I) and the volume of literature directly and indirectly related to the politics of higher education, the investigator was selective in the choices of literature, information, and research she made for inclusion in this chapter. Emphasis was placed on the relationship of colleges and universities to state governments: the

factors which impinge upon such relations; the participants in the relationship; and the techniques, methods, tactics, or activities which foster and hinder effective relationships.

Following is a summary of the literature reviewed and the information and research presented in Chapter II:

1. Since the 1950s the independent sector of higher education has been experiencing declines in its percentage of students enrolled in American colleges and universities. A variety of complex factors, internal and external to the sector, have contributed to the present precarious status and the uncertain future of many independent institutions. The literature abounded with suggestions and recommendations for the alleviation of the sector's problems and its ultimate survival.

2. Projections regarding the future of higher education in the 1980s were filled with references to higher education's continuing need for government financial assistance and the independent sector's dependence upon the continuation of state financial aid to its students. The emergence and strengthening of the role of state governments in higher education's future in "the difficult decade" was well documented, especially the role to be played by state legislatures.

3. Relationships and communications between educators and politicians have, historically, been colored by the stereotypic, uncomplimentary, critical, and often hostile notions each has of the other. While politicians are often viewed by educators as compromisers and opportunists, educators are often seen as stuffy and sanctimonious prigs.

4. The reported important participants in the relationship of the independent sector to state government were: the presidents of the independent institutions, the state association of independent colleges and universities (if one exists), the governor, and state legislators, especially legislators from the institutions' districts. Mention was made of the minimal use of campus constituents (trustees, faculty, students, administrators) in institutional-state government relations.

5. A variety of factors were reported to have an effect on higher education-state government relationships. Some factors were considered common to all relationships--the political, social, and economic conditions of a state; legislative traditions and practices; the legislators, governors, bureaucrats; political party influence and leadership, to mention a few. Factors such as the national and state constitutions, decisions of state courts, formal and informal legislative rules and sanctions were noted as having some bearing on the legislative rule-making function.

6. A number of factors were delineated as having some effect on the relationship of the independent sector to state government, e.g., the existence of a state association of independent colleges and universities; the personalities of the presidents of the state's independent institutions; the location, stature, and reputation of the institutions; services rendered to the citizens of the state through their academic programs; the quality of personal relationships developed by the independent presidents with state officials; that which is expedient for a state legislator at a particular time;

the merits of the issues, proposed legislation, or regulations which pertain to independent higher education.

7. Legislators, who they are as individuals and as a group, their functions, and how they perform those functions, were defined as important factors in higher education-state government relations. The importance of Appropriations and Education Committees and subcommittees was noted. Numerous citations mentioned a variety of factors which influence the decisions made by legislators, including but not limited to: their education; common sense, instincts, biases; information and advice they receive; personal philosophy; fiscal and constitutional implications of a particular issue; floor debate on a bill; political party positions; the wishes of influential and powerful constituents; and the extent to which a vote for or against a bill will help or hurt the legislator in the next election. It was also observed that some legislators vote on the basis of the organized support or opposition to a bill or on the direct or indirect financial benefit they expect to receive or have received.

8. Many legislative complaints about the performance of educators in the political process centered upon the inability of educators to provide the lawmakers with credible, accurate, relevant, complete, and timely data and information. Research studies pertaining to state legislators' perceptions regarding their educational decision-making functions highlighted an almost universal legislative need for an improved educational data base.

9. Since state lobbying for the independent sector of higher education is generally a responsibility of a state association of

independent colleges and universities, the relevant literature which clearly pertained to the nature, purposes, styles, and characteristics of formal lobbying was not presented in Chapter II. A sampling of other techniques, methods, or tactics for relating to or influencing state legislators was noted. The advice to educators from state legislators generally related to the improvement of personal relationships between the two groups. Educators were asked to improve their provision of useful and timely data and information to political leaders. Colleges and universities were encouraged to defend their roles and missions but also to be cognizant of other state needs and priorities. The use of support groups (trustees, alumni, students, faculty) was viewed by some writers as an effective technique, whereas others noted legislators' displeasure with such "blatant propaganda." Independent college and university presidents were advised to develop personal relationships with district legislators, to support public policymakers who recognize the value of the existence of the sector, and to be friendly to, but critical of, those legislators who consistently refused to recognize the value of the sector.

10. Research findings regarding miscellaneous tactics or methods used with legislators revealed that personal contact and relationships with legislators were among the most frequently used and the most effective methods of influencing educational legislation. Ineffective methods included stimulated mail, threats or intimidation tactics, and contacting legislators outside of one's district.

11. Whatever the form of communication used for contacting or relating to state government officials (invitations to visit campus,

telephone calls, personal letters), educators were advised to be concerned about the quality and calibre of the communications.

Authors observed the need for honesty, personal integrity, good-will, openness, respect, and gratitude in educational-political relationships.

CHAPTER III

RESEARCH DESIGN AND METHODOLOGY

Introduction

In Chapter I, the purposes of the study were presented along with an explanation of the significance of the research. The general design, assumptions, and limitations of the study were also presented. In the present chapter, attention is given to a more detailed explanation and description of the population, the development and use of the research instruments, data-collection procedures, and the descriptive and statistical techniques used in analyzing the data.

Development of the Study

The identification and development of the study evolved from the investigator's experiential background in independent higher education and from her personal interest in politics, especially the politics of higher education.

After defining the study subject and completing an extensive literature review by manual and computer search techniques, further discussion was conducted with professionals in the field of institutional-government relations. The study purposes were refined and confirmed.

Design of the Study

According to Kish (1965), a good sample design should take into consideration the goals of the study, the ability to provide for necessary computations, practicality and feasibility, and economic considerations.

The specific nature of the study population was chosen for the following reasons:

1. The investigator wished to gather qualitative information as well as quantitative data. Economic factors led to the decision of geographic proximity as a prime consideration. Since Michigan is part of Region I of NAICU, the decision was made to include the other 10 states in Region I as opposed to establishing another geographic criterion.

2. Given the small number of independent colleges and universities which met the criteria of the study (213), the investigator deemed it feasible, practical, and economical to survey the all-inclusive group, to be defined as the study population.

Study Population

The population defined for this research consisted of all independent nonprofit or church-affiliated, nonproprietary, accredited colleges and universities located in Region I of NAICU, with enrollments of at least 200 students, and which grant, at a minimum, the baccalaureate degree in the liberal arts, or the liberal arts and professional programs, or the liberal arts and teacher education programs. As noted earlier, Region I of NAICU consists of the

following 11 states: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin. The names of qualifying institutions were obtained from The Education Directory, Colleges & Universities 1978-79 edition, published by the National Center for Education Statistics. Table 3.1 lists the states in Region I with the number of institutions which met the study's criteria and each state's percentage of the total population.

Table 3.1: Frequencies and Percentages of Institutions in the Study Population by State

State	f ^a	%b
Illinois	44	21
Indiana	28	13
Iowa	25	12
Kansas	16	8
Michigan	23	11
Minnesota	17	8
Missouri	24	11
Nebraska	10	5
North Dakota	2	1
South Dakota	6	3
Wisconsin	18	8
Total	213	100.0 ^c

^aFrequencies.

^bPercentages.

^cDue to rounding, column totals of percentages may not equal 100.0%.

Research Questions and Hypotheses

Several research questions were formulated to provide a framework for describing and analyzing the data. They were as follows:

1. What factors affect the relationship of the independent sector of higher education in Region I of NAICU to state government?
2. What factors affect the relationship of an individual independent college or university in Region I of NAICU to state government?
3. What methods are used by the colleges and universities to relate to elected state government officials?
4. What is the effectiveness of a select group of methods and tactics in influencing the voting patterns of elected state government officials?
5. Who are the key or significant participants in the relationship?
6. Which forms of communication are preferred by the independent colleges and universities when relating to elected state government officials?
7. Who provides helpful advice to independent colleges and universities regarding the nature of their relationship with state governments?
8. Which publications provide helpful information?

In answering questions 1, 2, 3, 4, 6, and part of 5, several null hypotheses were formulated to assist the data analysis. Two characteristics of the responding institutions were designated as

independent variables: institutional "state location" and "presidential tenure" of the respondent. The null hypotheses for research question 1 are:

H0₁: There is no significant relationship between respondents' state location and their perceptions of the importance of factors which may or may not affect the relationship of the independent sector of higher education to state governments in Region I of NAICU.

H0₂: There is no significant relationship between presidential tenure and the respondents' perceptions of the importance of factors which may or may not affect the relationship of the independent sector of higher education to state governments in Region I of NAICU.

The null hypotheses for research question 2 are:

H0₃: There is no significant relationship between respondents' state location and their perceptions of the importance of factors which may or may not affect the relationship of an individual independent college or university to its respective state government in Region I of NAICU.

H0₄: There is no significant relationship between presidential tenure and the respondents' perceptions of the importance of factors which may or may not affect the relationship of an individual independent college or university to its respective state government in Region I of NAICU.

The null hypotheses for research question 3 are:

H0₅: There is no significant relationship between respondents' state location and their reported use of various methods and tactics to relate to elected state government officials.

H0₆: There is no significant relationship between presidential tenure and respondents' reported use of various methods and tactics to relate to elected state government officials.

The null hypotheses for research question 4 are:

H0₇: There is no significant relationship between respondents' location by state and their perceptions of the effectiveness of a select group of methods and tactics to influence the voting patterns of elected state government officials.

H0₈: There is no significant relationship between presidential tenure and the respondents' perceptions of the effectiveness of a select group of methods and tactics to influence the voting patterns of elected state government officials.

The null hypothesis for part of research question 5 is:

H0₉: There is no significant relationship between presidential tenure and the respondents' reported use of support groups in their relationships with elected state government officials.

The null hypothesis for research question 6 is:

H0₁₀: There is no significant relationship between mileage and the respondents' reported use of forms of communication with elected state government officials.

The Survey Instruments

One of the major tasks of an investigator is to choose dependable measuring instruments to obtain data suited to the purposes of the specific study. One common way of obtaining such data is to ask questions of a group of subjects. The questionnaire and the interview both represent this technique (Ary, Jacobs, & Razavieh, 1972).

The collection of data for this descriptive study was accomplished through the use of two methods: written responses to a direct-mail questionnaire and verbal responses in a structured interview. The decision to use both methods was based on the investigator's desire to consider the relationship of independent colleges and universities to their respective state governments in terms of both quantitative as well as qualitative aspects. Use of both the interview and the questionnaire allowed the investigator to explore the relationships with greater depth and clarity.

The Questionnaire

The survey questionnaire (Appendix A) was developed by the investigator in several phases. A comprehensive review of relevant and contemporary literature and research was conducted manually and by computer search. During the phase of the literature review, the investigator had a quarter-term internship for academic credit with the Association of Independent Colleges and Universities (AICUM) located in Lansing, Michigan. This experience provided the investigator with exposure to the day-by-day operation of the independent college and university lobbying group and the nature and degrees of involvement of the member institutions, in addition to access to AICUM historical documents and communications. The investigator took part in committee work, attended legislative sessions and committee hearings, and had several opportunities to "pick the brain" of AICUM's President, John Gaffney, an experienced, successful, and highly respected state executive director.

From information gathered from the literature review and the internship, the investigator developed and designed the questionnaire based on the study's research questions and hypotheses. Two Michigan State University professors assisted the investigator in the process of refining the questions, their language and format.

A questionnaire of 12 questions was then pilot tested for clarity of instructions, content, item construction, wording, length, and time for completion. Five former presidents of Michigan independent colleges and universities comprised the pilot test group. Their years of presidential experience ranged from 4 to 24 years. The institutions

they formerly represented met all of the criteria for the study's population. All five presidents completed the questionnaires and critique forms. In addition, the investigator had several conversations with three of the five participants.

Following a detailed and thorough review of the participants' responses and comments, the investigator made minor changes in the overall design and content of the instrument and prepared the instrument for final publication.

Major questionnaire components. The questionnaire (Appendix A) consisted of 11 questions which were directly related to the research questions of the study. Appendix B shows the relationship of the contents of the questionnaire to the research questions.

Demographic data for each responding institution were sought regarding enrollment data, distance in miles from their state Capitol, and membership in a state association, federation, or council of independent colleges and universities. Information was also sought from the respondents regarding previous experience as a college or university president, tenure in his/her present position, and educational background.

Validity of the instrument. Validity is the ability of a survey instrument to measure what it sets out to measure (Moser & Kalton, 1972). Validity is not an easy or straightforward concept because there are several types of validity. Following the traditional notions of validity suggested by Ebel (1972), this study claimed both content and concurrent validity. As a result of a comprehensive and systematic development of the questionnaire and the interview guide

(based upon an extensive literature review and advice of the executive officers of AICUM), and the pilot test, it was the judgment of the investigator and the professionals in the field that both instruments measured those factors necessary to answer the study's research questions. In addition, a detailed examination of the responses of the Michigan presidents in the interviews revealed concurrence with questionnaire responses.

Reliability of the instrument. The reliability of survey instruments is an exceedingly difficult characteristic to establish because the notion of a "right answer" is conceptually different from the concept when applied to objective achievement tests. It is noted, however, that the consistency of responses among respondents in the state of Michigan both to the questionnaire and to the interview questions suggested a notion of test-retest reliability. Even though an exact measure of reliability such as a test-retest reliability coefficient was not computed, the claim is nonetheless made, that the survey instrument did have the quality of reliability.

The Interview

As noted earlier, the interview represented a secondary research tool for the study to complement and supplement the quantitative data gathered from the questionnaire.

The content of the original structured interview guide was developed from relevant literature and from pilot test responses. Two of the five presidents who participated in the pilot test of the questionnaire were interviewed by the investigator to gather additional

information for the research project and to provide experience in conducting a research interview.

The final interview guide and list of questions (Appendix C) was developed from a revision of the pilot guide and from an analysis of the survey questionnaires (104) returned by May 10, 1980. Appendix D provides a correlation of interview questions to questionnaire questions.

Data-Collection Procedures

The Questionnaire

The data-collection design for the questionnaire was directed at securing an adequate response rate from the study population. The investigator was very conscious of the fact that college and university presidents are inundated with questionnaires/surveys/forms from a variety of sources and that for many colleges and universities late April and early May represent days and evenings of activities associated with the end of the academic year.

The basic data-collection plan for the questionnaire consisted of an initial mailing and a follow-up mailing to nonrespondents on the tenth day following the initial return.

On April 26, 1980, the initial mailing was sent to the presidents of the 213 independent colleges and universities in the study population. The mailing to the presidents of the 23 Michigan independent colleges contained: (1) a two-page individually typed cover letter introducing the investigator and the research study and requesting their participation in the study through completion of the

questionnaire and an interview with the investigator; (2) a copy of the questionnaire; (3) a preaddressed, stamped return envelope; and (4) a form to request a summary of the study results. The mailing to the presidents of the other 190 independent colleges and universities was the same minus the request for an interview. Copies of the original cover letters and request form can be found in Appendices E, F, and G.

All printed materials in the study used the same type style and were printed professionally. As mentioned earlier, given the time of year and the fact that college and university presidents receive numerous questionnaires, the decision was made to print the questionnaire on a light blue paper and black type with the hope that it would secure their attention and response.

Two envelopes were used: a 10" x 13" manila mailing envelope containing the cover letter, questionnaire, request form, and a 9" x 12" manila envelope addressed and stamped for the return of the questionnaire. All mailings were sent via first-class mail.

Each questionnaire was identified with a code number placed in the lower left-hand corner of the back page and matched to a printed list of the institutions in the study population to allow for easy recognition of nonrespondents and for questionnaire identification by state.

The initial return was received on April 29, 1980, from a Michigan institution. A log of the dates and numbers of returned questionnaires can be found in Appendix H. On May 9, 1980, 10 days after the initial return, 100 (47%) completed questionnaires had been

returned and four presidents had notified the investigator that time constraints would not permit their participation in the study. Thus, the follow-up letter (Appendix G), questionnaire, request form, and a stamped, addressed return envelope were mailed (via first class) to 101 nonrespondents. Although 109 questionnaires were not as yet returned, the investigator chose not to send follow-up letters to those Michigan presidents she knew (from phone conversations regarding interviews) intended to complete and return the questionnaire.

Time and financial considerations did not allow for further methods of follow-up of nonrespondents. Questionnaires received as of June 6, 1980, were included in the data analysis. A total of 149 questionnaires were returned, representing a response rate of 70%. Presidents from 10 institutions notified the investigator of their inability to complete the questionnaire due to pressures of the job, time constraints, and institutional policies regarding participation in research studies.

The Interviews

As noted earlier, the interview population consisted of the presidents of the 23 Michigan independent colleges and universities in the study population. The cover letter they received (Appendix E) explained the purpose of the interview, asked for their cooperation, and informed them of the investigator's plan to call their office for an interview appointment.

To schedule a date, time, and place for the interview, the investigator began contacting the office of each Michigan president

by telephone on May 3, 1980. Of the 23 eligible presidents, 17 agreed to be interviewed. Of the six who declined to be interviewed, two stated that they had been in office less than one year and did not feel qualified to give an interview on the subject matter of the study. Of the other four presidents who declined, one felt his institution's enrollment and lack of involvement with state government precluded him from the study. Further conversation revealed that the enrollment figure given in The Education Directory for that particular institution (280) was grossly in error since the institution's total enrollment had been and is less than 50 students. The investigator removed the institution from the study population list, thus reducing the total study population to 212 and the Michigan population to 22, 10.3% of the total population.

When the date, time, and place of the interview had been arranged, a postcard was mailed to each president confirming the interview appointment and restating its purpose.

The 17 interviews took place between May 13 and June 5, 1980. All of the Michigan presidents permitted the investigator to tape record the interview. All but two of the interviews were held in the campus offices of the interviewees. Because of time constraints and travel schedules, two interviews were conducted in restaurants. Following each interview, a letter of appreciation was sent to the interviewee by the investigator.

From reactions and comments made by the interviewees, the investigator was able to establish rapport quickly and easily. The average

interview length was 40 minutes. Additional post-interview conversations resulted in some visits lasting up to two hours.

The seemingly candid responses of the interviewees as well as the interest they expressed in the outcomes of the study made the gathering of data through interview a very enriching, enjoyable, and highly informative experience for the investigator.

Transcription of the taped interviews by the investigator began on June 16, 1980.

Coding and Keypunching of Questionnaire Data

As the questionnaires were received, the investigator checked them for accuracy of enrollment data and completion of questionnaire items. The date of return was recorded on each questionnaire.

Coding of each questionnaire was done by the investigator. A codebook for all questionnaire responses can be found in Appendix I. The coding forms of the 149 questionnaires were taken to the keypunching office of the Michigan State University Computer Center, where all data were keypunched and verified.

Data Processing

The analysis of questionnaire data was aided by the use of the Michigan State University CDC 750 computer and the Statistical Package for the Social Sciences (SPSS) (Nie et al., 1975).

Data Analyses

The data analyzed consisted of the responses from the 149 returned questionnaires and the 17 personal interviews. The interviews

were transcribed and analyzed by the investigator. The nature of the research questions provided a variety of ways in which to analyze the questionnaire data.

First, comparisons between waves of respondents, i.e., those who responded to the initial mailing compared with those who responded to the follow-up mailing, were made by the use of a Student's t-test. Because this set of comparisons actually uses multiple t-tests, a compounding of a Type I error results. To control for this problem, a technique referred to as the Bonferroni Inequality Technique (Kirk, 1968) was employed. This technique translates into dividing the overall alpha level (.05 for this phase of the study) into four parts, one part for each characteristic to be compared. Thus, a significance level of .0125 ($.05/4 = .0125$) was the critical level necessary to discern differences between waves. The computed value of the t statistic for this alpha level and this sample size is approximately 2.5.

Analysis of the data for the 11 questions of the questionnaire was organized in the following manner: Frequencies and percentages for each response to every item of the 11 questions were obtained by use of the SPSS subprogram, FREQUENCIES. Missing values were excluded from the calculation of adjusted and cumulative frequencies and from all statistics. Frequency counts for each item in the questionnaire can be found in Appendix J. Where appropriate, percentages will be included in Chapters IV and V. When the frequency counts for individual items in any of the 11 questions warranted further explanation, additional investigation for sources of difference or

similarity were utilized. The null hypotheses were formulated to allow for tests of significant relationships. The SPSS subprogram, CROSSTABS, which yields bivariate frequency distributions, was employed to provide the chi-square statistic to determine whether or not a systematic statistical relationship existed between the two variables in each hypothesis. Missing values were included in the tables but not in the calculation of the statistics.

Significance Level for Questionnaire Data

According to Wiersma (1975), the significance level or alpha level is the level of probability at which a researcher rejects the null hypothesis being tested. To a certain degree, the choice of alpha level is an arbitrary choice of the investigator depending upon the amount of risk she or he is willing to take in making an error. It was the investigator's decision to set the significance level for the data analysis of questions I through XI at the .10 level. This decision was made for the following reasons: (1) survey research, especially descriptive research, is not viewed as a highly precise investigative technique; (2) no programs related to independent higher education will be jeopardized by the findings of this study; and (3) this study represents a very generalized approach to the problem under consideration, and the need for a very small significance level did not seem warranted. Given these considerations, the investigator decided it was more important to expose significant differences than to be absolutely sure that a Type II error was not being committed.

However, because individual items within questions I, V, VI, VII, VIII, and XI were not clearly independent of one another, the alpha level for the overall experimentwise effect was being compounded. To control for this, a variation of the Bonferroni Technique mentioned earlier was used.

The alpha levels established for the research hypotheses were as follows:

$$HO_1 \text{ and } HO_2: \quad .10/17 = .006$$

$$HO_3 \text{ and } HO_4: \quad .10/19 = .005$$

$$HO_5, HO_6, HO_7, \text{ and } HO_8: \quad .10/15 = .007$$

$$HO_9: \quad .10/7 = .014$$

$$HO_{10}: \quad .10/4 = .025$$

This adjustment allowed the error rate associated with the overall alpha level to be a result of the function of the number of comparisons which were made (Kirk, 1968) and insured that the overall alpha level would not be greater than the .10 level.

CHAPTER IV

ANALYSIS OF QUESTIONNAIRE DATA

Introduction

This chapter contains a presentation and analysis of the data gathered from the 149 questionnaires returned as of June 6, 1980. Where appropriate, the major findings are presented in statistical, descriptive, and tabular form. Total frequency counts for each item of the questionnaire can be found in Appendix J.

The first part of Chapter IV contains an analysis of Wave One (questionnaires received on or before May 14, 1980) and Wave Two (questionnaires received after May 14, 1980).

The second part of Chapter IV presents a profile of the respondents and their institutions. The profile was generated through the use of descriptive information, frequency counts, and percentages.

A summary of the major findings for each of the eight research questions as well as an analysis of the 10 hypotheses is presented in the third and fourth sections of Chapter IV.

Analysis of Waves One and Two

The original letter to the presidents of the study population institutions requested that questionnaires be returned on or before May 12, 1980. On May 9, 1980, the follow-up letter was mailed. Questionnaires received on or before May 14, 1980, were designated

as Wave One; those received after May 14, 1980, through June 6, 1980, were designated as Wave Two. A total of 149 questionnaires were returned by June 6, 1980, representing 70.28% of the 212 institutions in the study population.

Appendix K is a listing of the responding institutions by state location. It is noted that the name of the one responding institution from North Dakota has been omitted to protect the anonymity and confidentiality of responses of that particular respondent.

Comparisons between Wave One and Wave Two on the various characteristics of interest were made by use of a Student's t-test. Table 4.1 is a presentation of the results of the t-test on the following institutional characteristics: enrollment, distance from the capital city of the respective state (mileage), membership in a state organization of independent colleges and universities (association), and tenure of the institution's president (presidential tenure). Because this set of comparisons actually uses multiple t-tests, a compounding of a Type I error results. To control for this problem, a technique referred to as the Bonferroni Inequality Technique (Kirk, 1968) was employed. This technique translates into dividing an overall alpha level (.05 for this phase of the study) into four parts, one part for each characteristic. Thus, a significance level of .0125 ($.05/4 = .0125$) was the critical level necessary to discern differences between the two waves. The computed value of the t statistic for this alpha level and this sample size is approximately 2.5. An inspection of the t-values in Table 4.1 revealed no value as large as 2.5. Thus, it was concluded that for the purposes of this study

and given the evidence collected, the assumption that Wave One and Wave Two did not differ from each other in their characteristics seemed warranted and the study proceeded accordingly.

Table 4.1: t-Test for Significant Differences Between Waves One and Two by Institutional Characteristics

Characteristics	Wave One Mean ($\bar{X}$)	Wave Two Mean ($\bar{X}$)	t-value
Enrollment	3.75 ^a	3.41 ^a	2.04
Mileage	2.92 ^b	2.48 ^b	1.60
Association	1.00 ^c	.94 ^c	1.44
Presidential tenure	7.36 ^d	5.57 ^d	2.21

^aEnrollment category "3" represented 500-999 students.

^bMileage category "2" represented 51-100 miles.

^cQuestionnaire item pertaining to state association membership was coded as follows: 1 = yes, 0 = no.

^dActual years in office were used for coding presidential tenure.

Wave One consisted of 113 respondents and Wave Two consisted of 36 respondents--53% and 17%, respectively, of the total population.

Profile of Respondents Using Selected Factors

Personal Profile

Education. The educational levels of the responding presidents are presented in Table 4.2. Of the 149 respondents, only 2 did not indicate their highest degree earned. Of the 147 who did, 13 (9%) earned a master's degree, 115 (78%) a doctoral degree, 7 (5%) a professional degree, and 12 (8%) a doctoral and a professional degree.

Table 4.2: Frequencies and Percentages of Educational Level of Respondents by Highest Degree Earned

Degree Earned	<u>f</u>	%
Master's	13	9
Doctoral	115	78
Professional	7	5
Doctoral and professional	12	8
Total	147	100 ^a

^aDue to rounding, column totals in all tables involving percentages may not equal 100.0 percent.

Presidential tenure. Table 4.3 is a presentation of the respondents' years in office in their present presidency (presidential tenure). All but one of the 149 respondents answered this item in the questionnaire. Of the 148 who completed the item, the mean tenure ($\bar{X}$) for the respondent population was approximately 7 years. Presidential tenure ranged from 1 year or less to 28 years. Those respondents who had been in office 5 or less years accounted for 48% of the respondent population, while those who had been president for 6 to 10 years represented 32% of the respondent population. The remaining 20% of the population, representing 13 individuals, had been in office from 11 to 28 years.

Previous experience as a president. Table 4.4 is a presentation of the respondents' previous experiences as a college/university president. All respondents (149) completed this questionnaire item. Of the 149, 125 (84%) had never been a college or university president prior to their present appointment. Of the 24 respondents (16%)

Table 4.3: Frequencies and Percentages of Presidential Tenure by Years in Office

Years in Office	<u>f</u>	%
1 or less	18	12
2	11	7
3	20	14
4	8	5
5	15	10
6	16	11
7	7	5
8	8	5
9	7	5
10	9	6
11	2	1
12	4	3
13	5	3
14	3	2
15	4	3
16	2	1
17	3	2
18	1	1
20	1	1
22	1	1
24	1	1
26	1	1
28	1	1
Total	148	100

Note: Mean tenure = 6.939.

who had previous presidential experience, 20 had been a president at one other institution, 2 at two other institutions, and 2 at three other institutions. Questionnaire data revealed that of the 30 institutions represented in the respondents' previous presidencies, all but one were independent colleges or universities.

Table 4.4: Frequencies and Percentages of Respondents' Previous Presidential Experience

Experience	<u>f</u>	%
Previous presidential experience	24	16
No previous presidential experience	125	84
Total	149	100

Institutional Profile

Enrollment. Table 4.5 is a presentation of institutional enrollment categories by frequencies and percentages as reported by the 149 responding institutions. The enrollment categories are those which are used by the National Center for Education Statistics in Digest of Education Statistics 1979.

Of the 149 responding institutions, 88% had enrollments of between 200 and 2,499 students while the remaining 12% ranged in enrollment from 2,500 to 19,999. The mean category of enrollment for respondents was 500-999 while the modal response was 1,000-2,499. Differences between enrollments cited by respondents and those

published in the latest Education Directory, Colleges & Universities, 1978-79 edition, are reflected in Appendix L.

Table 4.5: Frequencies and Percentages of Enrollment Categories of Responding Institutions

Enrollment Categories	<u>f</u>	%
200- 499	12	8
500- 999	57	38
1,000- 2,499	62	42
2,500- 4,999	8	5
5,000- 9,999	6	4
10,000-19,999	4	3
Total	149	100

Association membership. Of the 149 respondents, all but 5 responded to the questionnaire item regarding present membership in a state association of independent colleges and universities. Of the 144 who completed the item, 142 (99%) stated that their institutions presently were members of a state association, while 2 (1%) indicated that their institutions were not members.

Mileage. All but 6 of the 149 respondents completed the questionnaire item regarding distance in miles of their institution from the capital city of their respective state. Table 4.6 is a profile of the responses to this item. The mean, median, and mode for the characteristic, "mileage," was 2.8, which represented 51-100 miles. Slightly more than 50% of the responding institutions were between

1 and 100 miles from their respective state capital and 49% were between 101 and 200+ miles from the state capital.

Table 4.6: Frequencies and Percentages of Respondents' Distance From State Capitals by Mileage Categories

Mileage Categories	<u>f</u>	%
1- 50	31	22
51-100	42	29
101-150	10	7
151-200	41	29
200+	19	13
Total	143	100

Location. Table 4.7 is a presentation by frequencies and percentages of the study population and the respondent population by state location. The respondents (149) represented each of the 11 states in Region I. Illinois represented the largest frequency and percentage of the respondents while North Dakota represented the smallest. Table 4.8 is a presentation of the responding population by state location with frequency and percentage of returns for each state. The largest percentage of response for an individual state was Michigan with 86% of return, followed by South Dakota (83%), Minnesota (82%), and Kansas (81%). The smallest percentage of return by state was North Dakota (50%). The average percentage of response for the 11 states was 70.2%. A graph of the frequency of respondents for each state in the study population can be found in Appendix M.

Table 4.7: Frequencies and Percentages of Institutions in Study Population and Respondent Population by State

State	Study Population		Responding Institutions	
	<u>f</u>	%	<u>f</u>	%
Illinois	44	21	28	19
Indiana	28	13	22	15
Iowa	25	12	14	9
Kansas	16	8	13	9
Michigan	22	10	19	13
Minnesota	17	8	14	9
Missouri	24	11	13	9
Nebraska	10	5	6	4
North Dakota	2	1	1	1
South Dakota	6	3	5	3
Wisconsin	18	8	14	9
Total	212	100	149	100

^aPercentages are based on the N of the corresponding population, 212 and 149, respectively.

Table 4.8: Frequencies and Percentages of Respondents per State by State

State	<u>N</u>	Respondents	
		<u>f</u>	% ^a
Illinois	44	28	64
Indiana	28	22	79
Iowa	25	14	56
Kansas	16	13	81
Michigan	22	19	86
Minnesota	17	14	82
Missouri	24	13	54
Nebraska	10	6	60
North Dakota	2	1	50
South Dakota	6	5	83
Wisconsin	18	14	78
Total	212	149	

^aPercentages are based on the N for each state in the study population.

Major Findings of the Questionnaire Data

Introduction

As noted earlier, 149 institutions (70% of the study population) responded to the survey questionnaire. Given the position of the respondents (college and university presidents) and the time of year, the investigator was very satisfied with the percentage of return. According to Babbie (1973), "a response rate of 70 percent or more is very good" for analysis and reporting (p. 165).

The major findings of the survey questionnaire are reported according to the order of the 11 questions in the questionnaire. As noted in the Introduction to Chapter IV, numerical frequency counts for each item and response category can be found in Appendix J. Where appropriate, percentages will be provided with the major findings.

Question I--Research Question 1

In Question I of the survey questionnaire, respondents were asked to indicate the degree of importance of a select group of factors which may or may not affect the relationship of the independent sector of higher education to state governments. The content of items a through g represented a rather broad coverage of factors.

Responses to question I revealed minimal variance of opinion among respondents except for factors I-c, I-h, and I-l. More than 90% of all responses to 12 of the 17 factors were found in the "essential" and "important" categories. Of the remaining five factors, more than 70% of all the responses were found in those same categories.

Of the 17 factors listed, the ones which were specified most often by the respondents as "essential" were:

- I-b. the Governor's position on state aid to independent higher education (62%)
- I-d. the merits of the issue contained in a particular bill which relates to independent higher education (57%)
- I-f. the effectiveness of the state association of independent colleges and universities (72%)

It is noted that all but one of 149 respondents responded to factor I-f (noted above). All responses (100%) to this factor were either in the response category "essential" (72%) or the category "important" (28%).

Of the 17 factors, the following were specified as "important" by more than 100 of the 149 respondents:

- I-h. personalities of the presidents of the independent colleges and universities (70%)
- I-i. the percent of state students enrolled in independent colleges/universities (73%)
- I-m. responsiveness of independent colleges/universities in meeting needs and requests of individual legislators or the Governor (68%)
- I-p. the relationship between public higher education and independent higher education in the state (76%)

The following additional factors were perceived as "important" by at least half of the respondents:

- I-c. the state Constitution (52%)
- I-g. Legislators' personal philosophy about state aid to independent institutions and their students (52%)
- I-j. independent sector's provision of service to citizens of the state (66%)

Of the remaining seven factors, the modal response was "important" except for I-a, "understanding of the state's political processes by presidents of the independent colleges/universities."

Those responses were almost split in half since 76 (51%) perceived I-a as "essential" and 71 (48%) perceived it as "important."

The factors rated most often as "unimportant" were:

- I-c. the state Constitution (16%)
- I-e. number of independent colleges and universities in the state (12%)
- I-h. personalities of the presidents of the independent colleges/universities (15%)
- I-l. extent to which a vote for independent higher education will help or hurt a legislator in the next election (16%)

Of the 17 factors, 8 had responses in the category "irrelevant"; of those 8, 4 had a frequency of 1. The highest frequency in the category "irrelevant" was 10, and that was for factor I-h, "personalities of the presidents of the independent colleges/universities."

Question II--Research Question 5

The purpose of question II was to determine those elected state government officials on whom the independent colleges and universities focused their attention during any given year. Provision was made for respondents to indicate that they "do not actively relate to elected state government officials" (II-i), if such was the case. Question II seemed to pose a problem for some respondents inasmuch as 30 of the 147 respondents to question II checked their responses as opposed to ranking them as the question directed them. In order to take advantage of all responses, a simple frequency count was made to identify the modal responses. Accordingly, the three responses receiving the highest frequency counts with no necessary order implied were:

- II-b. state legislators from your institution's district
- II-d. state legislators who are members of a legislative committee which discusses education and/or higher education
- II-g. state legislators who are members of a legislative committee which discusses appropriations to higher education

It is noted that the modal responses coincided with the ranking by those 117 (87%) respondents who followed the directions for question II as they were stated.

The state officials receiving the lowest frequency counts were:

- II-f. those legislators who, though not elected to formal leadership within the Legislature, are leaders by virtue of their personal influence within the Legislature
- II-e. state legislators who consistently vote in favor of independent higher education issues
- II-h. other state officials

Of the 12 respondents who chose II-h, "another state official," 5 were from Illinois, and 3 of the 5 listed the Illinois Board of Higher Education.

Of the 147 respondents to question II, 16 (11%) indicated that they "do not actively relate to elected state government officials" (II-i). The 16 respondents represented 7 of the 11 states, with Missouri having the highest state representation, namely, 6 of the 16 (38%). The other six states were: Illinois (2), Indiana (1), Michigan (2), Minnesota (1), Nebraska (2), and Wisconsin (2). Of the 16 institutions, half are defined by The Education Directory, Colleges & Universities 1978-79 edition as independent nonprofit and half as church affiliated. Of the eight church-affiliated institutions, six were located in Missouri.

Question III--Research Question 5

Question III was intended to elicit from the respondents the types of approaches (direct or indirect) they used when relating to elected state government officials, and the use of support groups (faculty, students, Trustees). Respondents were asked "how often" (always, occasionally, rarely, never) they expressed their views directly to state government officials.

When an issue will have an impact on independent higher education (III-a), the modal response was "occasionally," with 91 (61%) of the 149 respondents choosing this category. When an issue will have an impact "on our institution" (III-b), an equal number of respondents (91 [61%]) chose "always" as their response.

Items III-c and III-d related to the use of support groups by presidents under the same conditions mentioned in III-a and III-b. The modal response for III-c and III-d was the same--support groups are used "occasionally." The frequency count for III-c and III-d was 87 or 59% of the respondents.

When an issue will have an impact on the sector, 48 (33%) of the respondents "rarely" enlisted the support of others and 4 (3%) "never" enlisted support. When an issue will have an impact on an individual institution, 36 (24%) "rarely" enlisted the support of others, while 2 (1%) "never" sought the assistance of others.

The two remaining items in question III dealt with the relationship of the respondents to their respective state association of independent colleges and universities. Of the 149 respondents, 140 (94%) indicated that they "always" expected the staff of the

state association to know and to represent the views of the independent sector (III-e). The remaining nine respondents (6%) chose the response "occasionally."

When a particular issue was under consideration, the respondents were divided equally in their responses in two of the four response categories. Of the 149 respondents, 65 (44%) said they "always" expressed their views to the state association and 65 (44%) "occasionally" expressed their views.

Question IV--Research Question 5

In Question IV, respondents were asked to rank the top three officials or organizations which influenced the positions and actions taken by their respective institutions in state public policy matters. As indicated earlier with reference to question II, some of the respondents did not rank their responses. Regarding question IV, 122 (82%) of the respondents ranked their responses while 27 (18%) checked their responses. A simple frequency count was made to identify the modal responses for all respondents. Accordingly, the three responses receiving the highest frequency counts with no necessary order implied were as follows:

- IV-a. the executive administrators of the institution
- IV-e. the institution's Board of Trustees
- IV-f. the state association of independent colleges and universities

It is noted that modal responses to question IV coincided with the ranking by those 122 (82%) respondents who followed the directions to question IV as they were stated.

The individuals/organizations which received the lowest overall frequency counts were:

- IV-c. the students
- IV-d. the alumni of the institution
- IV-j. others

Question V--Research Question 2

In Question V, respondents were asked to rate the importance of selected factors in terms of their effect on the relationship of an individual independent college or university to state government officials. A five-point Likert scale (Oppenheim, 1966) was used:

- 4 = Very important
- 3 = Important
- 2 = Unimportant
- 1 = Very unimportant
- 0 = Do not know

Responses to question V revealed variances of opinion among respondents except for V-q, "membership in the state association of independent colleges and universities." Of the 149 respondents, all answered V-q and 88 (59%) specified the factor as "very important" and 58 (39%) specified it as "important." Only 2 of the 149 respondents perceived V-q as "unimportant," and 1 respondent "did not know" its effect on the relationship of an individual independent college/university to state government officials.

By combining the response categories "very important" and "important," the following factors yielded percentages of more than 70%:

- V-a. independent status of the institution (87%)
- V-c. the institution's reliance on state aid to students (81%)

- V-f. people who influence the institution's position in public policy matters (80%)
- V-h. personal relationships with the Governor or state legislators (89%)
- V-j. the president's personality (78%)
- V-l. people who advise the president on public policy matters (74%)
- V-o. forms of communication used by the president in relating to state government officials (79%)
- V-p. meetings/seminars/conferences attended by the president which address political/public policy matters (71%)

The following factors were perceived as unimportant when the response categories "unimportant" and "very unimportant" were combined:

- V-b. the institution's proximity to the state Capital (80%)
- V-i. the president's academic preparation and background (52%)
- V-m. the president's previous experience as president of another college/university (58%)
- V-n. the president's previous nonacademic work experience (65%)

Several items of question V revealed a variance of opinion among respondents, with almost an equal number of respondents perceiving a factor as "important" as "unimportant," e.g., factor V-e(2), "church related or non-church related; V-d, "the institution's reliance on federal monies"; and V-i, "the president's academic preparation and background."

Factor V-e addressed the specific nature of the institution as a factor affecting the relationship of an individual independent college/university to elected state government officials. Specific nature was defined as follows: (1) college or university, (2) church related or non-church related, and (3) enrollment size. A variety of responses were reflected with respect to the importance of an

institution as either "church related or non-church related."

Table 4.9 is a presentation of responses to that particular item.

Of the 139 respondents, an almost equal number perceived the factor as "important" as "unimportant." Combining responses to the categories "very important" and "important" yielded a frequency (68) almost equal to the frequency of combining the "unimportant" and "very unimportant" responses (64).

Table 4.9: Frequencies and Percentages of Responses to Importance of Question V-e(2): Nature of Institution (Church Related or Non-church Related)

Responses	<u>f</u>	%
Very important	15	11
Important	53	38
Unimportant	57	41
Very unimportant	7	5
Do not know	7	5
Total	139	100

In an effort to investigate the responses to question V-e: "church related or non-church related," the investigator classified the respondents by institutional control as reported in The Education Directory, Colleges & Universities, 1978-79 edition. Table 4.10 is a presentation of responses to question V-e(2): "church related or non-church related" by institutional control.

Of the 139 respondents to the question, 37 (27%) were independent nonprofit institutions and 102 (73%) were church affiliated. Of

Table 4.10: Frequencies and Percentages of Responses to Importance of Question V-e(2): Nature of Institution (Church Related or Non-church Related) by Type of Institutional Control^a

Institutional Control	Response Categories									
	Very Important		Important		Unimportant		Very Unimportant		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
Independent nonprofit	3	8	10	27	20	54	4	11	0	0
Church affiliated	12	12	43	42	37	36	3	3	7	7

^a Institutional control information was obtained from The Education Directory, Colleges & Universities, 1978-79 edition.

the 37 independent nonprofit institutions, 65% considered the factor of church affiliation or independent status as "unimportant" and "very unimportant." Of the 102 church-affiliated respondents, 39% perceived the same factor to be "unimportant" and "very unimportant." While 42% of the church-affiliated respondents perceived the factor to be important, 36% perceived it to be unimportant.

Note: The investigator alerts the reader to the fact that perhaps "control" information reported in the Education Directory cited above may not be a reasonable or useful descriptor to discriminate in depth on this matter. Institutions personally known to the investigator (and to others) to be church-affiliated by foundation and current philosophy and practices are listed in the Directory as independent nonprofit, e.g., Mundelein College, Illinois; Hope College, Michigan; University of Detroit, Michigan; Creighton University, Nebraska; and Trinity Christian College, Illinois. The choice of descriptor is made by the individual institution according to the following options given by the Directory:

- independent nonprofit
- organized for profit
- affiliated with a religious group (affiliation does not imply financial support)

Responses to question V-d also revealed a difference of opinion among respondents as to the importance of an institution's reliance on federal monies as a factor which may or may not affect the institution's relationship to its state government. Table 4.11 is a presentation of responses to V-d. Although more respondents perceived the factor as "very important" and "important" than "unimportant,"

an almost equal number of respondents perceived it as "important" (55) as "unimportant" (52).

Table 4.11: Frequencies and Percentages of Responses to Question V-d: Importance of an Institution's Reliance on Federal Monies

Response	<u>f</u>	%
Very important	20	14
Important	55	38
Unimportant	52	36
Very unimportant	9	6
Do not know	7	5
Total	143	100

Responses to factor V-i, "the president's academic preparation and background," also showed an almost equal split of responses as reflected in Table 4.12. Of the 149 respondents, all but 3 completed the item. Of the 146, 62 (43%) perceived factor V-i as "very important" and "important," whereas 67 (46%) perceived it as "unimportant."

Table 4.12: Frequencies and Percentages of Responses to Question V-i: Importance of President's Academic Preparation and Background

Response	<u>f</u>	%
Very important	7	5
Important	55	38
Unimportant	67	46
Very unimportant	11	8
Do not know	6	4
Total	146	100

Of the 17 factors presented in question V, factors m and n elicited the highest number of "do not know" responses regarding their degree of importance. Factor V-m, "the president's previous experience as president," had 20 (14%) "do not know" responses, while V-n, "the president's nonacademic work experience," had 19 (13%) such responses.

Question VI--Research Question 6

The purpose of question VI was to designate the forms of communication preferred by the respondents when they communicated directly with state government officials regarding the impact of pending legislation on independent higher education. Respondents were directed to indicate the one form of communication they used in the majority of instances when they communicated with the Governor, the legislator(s) from their institution's district, key legislators related to an issue, and other state legislators.

The responses to question VI indicated that personal letter was the preferred form of communication for communicating with the Governor, key legislators related to an issue, and other legislators. When communicating with the legislator from the institution's district, respondents showed a greater variety of responses as indicated in Table 4.13. The frequency of responses revealed that respondents preferred "telephone call" and "personal letter" followed by an "invitation to lunch or dinner."

Question VI provided respondents with an opportunity not to specify a form of communication and to choose the statement "I do not

communicate directly with this individual." Of the 149 respondents, 19 (13%) chose this statement when referring to the Governor and 31 (21%) when referring to "other legislators."

Table 4.13: Frequencies and Percentages of Forms of Communication Used With District Legislators

Form of Communication	<u>f</u>	%
Telephone call	53	37
Personal letter	49	35
Visit to office	17	12
Invitation to lunch/dinner	22	15

Question VII--Research Question 5

Question VII was aimed at determining how often (always, occasionally, rarely, never) the respondents made use of support groups in their efforts to make state government officials aware of the effects of an issue on either their institution or independent higher education. Table 4.14 is a presentation of responses by frequencies and percentages for each of seven support groups.

The modal response for use of administrators, faculty or staff, alumni, trustees, and civic/corporate/business leaders was "occasionally," while the modal response for use of students and religious/church leaders was "rarely."

An almost equal number and percentage of respondents "always" and "occasionally" enlisted the support of faculty or staff as those who "rarely" and "never" enlisted their support.

Table 4.14: Frequencies and Percentages of Respondents' Use of Support Groups

Support Groups	Response Categories					
	Always		Occasionally		Rarely	
	f	%	f	%	f	%
Administrators	42	28	78	52	24	16
Faculty or staff	6	4	68	46	62	42
Students	4	3	51	34	66	44
Alumni	1	1	73	50	58	39
Trustees	25	17	106	71	13	9
Civic/corporate/business leaders	6	4	77	52	47	32
Religious/church leaders	3	2	38	26	60	40
					48	32

The group cited most often in the response category "always" was the administrators of the institution. The group cited most often in the "never" category was religious/church leaders.

Question VIII--Research Question 3

The purpose of question VIII was to ascertain how often individual independent colleges and universities used a select group of 15 methods or tactics as part of their effort to relate to elected state government officials. The frequency categories for question VIII were:

4. Regularly
3. Occasionally
2. Rarely
1. Never

The one method used most "regularly" by the respondents was VIII-c, "providing information about one's institution to elected state government officials."

The modal response for the total group of methods was "occasionally." The following activities received the highest frequency counts in that response category:

- VIII-b. invite elected state government officials to: speak to student groups/classes (61%), give a Commencement address (55%)
- VIII-c. provide information about your institution to elected state government officials (54%)
- VIII-d. make suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education (62%)
- VIII-e. inform elected state government officials of the effects on your institution of: (1) existing state laws (53%), (3) of the Governor's proposed education budget (49%), (2) of existing state regulations (57%)

- VIII-i. ask elected state government officials to be present at significant campus events or celebrations (62%)

Combining percentages of responses in the "rarely" and "never" categories yielded percentages of more than 50% for the following methods:

- VIII-a. attend legislative committee meetings (73%)
- VIII-b. invite elected state government officials to:
(1) address alumni groups (66%) and (4) address professional groups of educators (55%)
- VIII-g. extend personal favors to elected state government officials, to their families, and/or staff (88%)
- VIII-h. ask elected state government officials to be present at Commencements (58%)
- VIII-j. award an honorary degree to elected state government officials (66%)

The method receiving the highest frequency count (89) in the response category "never" was VIII-g, "extending personal favors. . . ." The second highest frequency count for that category (60) was VIII-j, "awarding an honorary degree. . . ."

Responses to question VIII-f ("sponsoring a social gathering for elected state government officials") revealed that the respondents were split down the middle of the response categories. Table 4.15 is a presentation of the responses. An almost equal percentage of respondents engaged in the activity "regularly" and "occasionally" (49%) as those who "rarely" and "never" (51%) sponsored a social gathering for elected state government officials.

Of the 15 methods or tactics presented in question VIII, 4 elicited responses in 3 of the 4 response categories: VIII-c, "providing information about your institution. . . ." elicited no responses in the "never" category, while VIII-b(1), "inviting elected officials

to address alumni groups," VIII-g, "extending personal favors. . .," and VIII-j, "awarding an honorary degree. . .," elicited none in the "regularly" response category.

Table 4.15: Frequencies and Percentages of Responses to
Question VIII-f: How Often Respondents Sponsor
Social Gatherings for State Government Officials

Responses	<u>f</u>	%
Regularly	15	10
Occasionally	57	39
Rarely	45	30
Never	31	21
Total	148	100

Question IX--Research Question 8

Question IX asked respondents to choose from a list of publications those which provided them with helpful information as they attempt to maintain working relationships with the Governor and state legislators. Respondents were also given an opportunity to choose the statement, "I do not actively relate to elected state government officials."

The publications receiving the highest frequency counts and percentages of responses were:

IX-c. The Chronicle of Higher Education (88%)

IX-d. publications/bulletins from the state association of independent colleges and universities (85%)

Less than 50% of the respondents chose the following publications:

- IX-j. CASC publications (44%)
- IX-i. publications/bulletins from state government agencies (34%)
- IX-g. publications/newsletters from state legislators to constituents (31%)
- IX-a. publications/bulletins from the Education Commission of the States (30%)
- IX-b. Change magazine (28%)

Publications from the American Council on Education (ACE) and the Association of Governing Board Reports were selected by 54% and 52%, respectively, of the respondents.

Of the 149 respondents, 11 specified "other" publications, and of the 11, 7 respondents listed bulletins from the National Association of Independent Colleges and Universities (NAICU).

As noted earlier, question IX-1 gave respondents the opportunity to choose the statement, "We do not actively relate. . . ." Of the respondents, only three (2%) chose the statement, and of the three, only one chose the statement and did not choose any publications.

Question X--Research Questions 3 and 7

In question X the respondents were asked to rank the top three individuals who provided them with the most helpful advice for their relationships with elected state government officials.

As in questions II and IX, provision was made for respondents to indicate that they "do not actively relate to elected state government officials." And, again, as noted in questions II and IV, question X seemed to pose a problem for some respondents inasmuch as 37 of the 149 respondents (25%) checked their responses as opposed to ranking them as specified in the directions. Accordingly, a simple frequency

count was made to identify the modal responses and to take advantage of all responses. The three individuals receiving the highest frequency counts with no necessary order implied were:

- X-a. an independent college/university president from your state
- X-b. a member of the state Legislature
- X-f. the staff of the state association of independent colleges and universities

It is noted that the modal responses coincided with the ranking by the 112 (75%) respondents who followed the directions for question X as they were stated.

The individuals receiving the lowest frequency counts for question X were:

- X-e. a president of a publicly supported college/university within your state
- X-g. alumni
- X-i. corporate/business/civic leader(s)
- X-j. a member of a state government agency

As noted earlier, provision was made for respondents to make the statement, "We do not actively relate. . . ." Of the 149 respondents, 4 (3%) chose the statement.

Question XI--Research Question 4

The purpose of question XI was to determine the respondents' perceptions of the effectiveness of the same groups of methods or tactics listed in question VIII in influencing the voting patterns of elected state government officials. A Likert scale for degrees of effectiveness was used:

- 4 = Very effective
- 3 = Effective
- 2 = Ineffective
- 1 = Very ineffective
- 0 = Do not know

Of all the questions in the questionnaire, question XI elicited the highest number of responses in the "do not know" response category. More than 20% of the responses to 10 of the 15 methods/tactics were found in that category. Modal responses by frequency and percentage for the following three methods were "do not know":

- XI-g. extending personal favors to elected state government officials ($\underline{f}$ = 67; 46%)
- XI-h. asking elected state government officials to be present at Commencements ($\underline{f}$ = 50; 34%)
- XI-j. awarding an honorary degree to elected state government officials ($\underline{f}$ = 57; 40%)

All but 2 of the 15 methods had responses in the five response categories. The response, "very ineffective," was not chosen by any respondent to the following methods:

- XI-c. providing information about your institution to elected state government officials
- XI-d. making suggestions to state government officials regarding possible legislation. . . .

The most effective tactics as indicated by combining the frequencies and percentages of responses in the categories "very effective" and "effective" were as follows:

- XI-c. providing information about your institution to elected state government officials (84%)
- XI-d. making suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education (85%)
- XI-e. informing elected state government officials of the effects on your institution of:
 - (1) existing state laws (81%)

- (2) existing state regulations (83%)
- (3) the Governor's proposed education budget (79%)

The following additional methods/tactics were perceived as effective by 50% or more of the respondents when the categories "very effective" and "effective" were combined:

- XI-a. attending legislative committee meetings (56%)
- XI-f. sponsoring a social gathering for elected state government officials (51%)
- XI-i. asking elected state government officials to be present at significant campus events or celebrations (58%)

It is further noted that when the above-named response categories were combined, the following additional methods were perceived as more effective than ineffective:

- XI-b. inviting elected state government officials to:
 - (2) speak to student groups/classes
 - (3) give a Commencement address
 - (4) address professional groups of educators

When the response categories "ineffective" and "very ineffective" were combined, the methods/tactics most often perceived as ineffective were:

- XI-b. inviting elected state government officials to:
 - (1) address alumni groups (35%)
- XI-g. extending personal favors to elected state government officials (37%)
- XI-h. asking elected state government officials to be present at Commencements (39%)

The respondents' perceptions of degrees of effectiveness for two methods/tactics revealed differences of opinion which split the group almost down the middle of the response categories. Table 4.16 is a presentation of responses for XI-b(1) and XI-j. An almost equal number of respondents perceived "inviting . . . officials to address

Table 4.16: Frequencies and Percentages of Respondents' Perceptions of Effectiveness of Method XI-b(1) and XI-j

Method/Tactic	Degrees of Effectiveness									
	Very Effective		Effective		Ineffective		Very Ineffective		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
XI-b(1)										
Inviting elected state government officials to address alumni groups	1	1	53	36	47	32	5	3	40	27
XI-j										
Awarding an honorary degree to elected state government officials	6	4	41	28	33	23	7	5	57	40

alumni groups" to be effective ("very effective" plus "effective") as ineffective ("ineffective" plus "very ineffective"). More than 25% of the respondents "did not know" the effectiveness or ineffectiveness of that activity. An equal percentage of respondents perceived "awarding an honorary degree. . . ." to be effective as ineffective ("ineffective" plus "very ineffective"), while 40% of the respondents "did not know" how to rate the effectiveness or ineffectiveness of that tactic.

Summary

In the preceding section of Chapter IV, data from questionnaire responses were presented. A summary of the major findings relative to the study's research questions, as stated in Chapter III, follows:

1. All of the 17 factors presented in question I of the questionnaire were perceived by the respondents to have some bearing on the relationship of the independent sector of higher education to state government. The factors perceived as most essential were: the effectiveness of the state association, the Governor's position on state aid to students, and the merits of the issue contained in a particular bill. The factors most important to the relationship were: the relationship between the independent and the public sectors, responsiveness of colleges/universities to the needs and requests of the Governor or legislators, the personalities of the independent presidents, and the percentage of state students enrolled in independent colleges/universities.

2. Respondents' perceptions of the importance of 19 selected factors on the relationship of an individual independent college/university to its respective state government revealed some variance of opinion except for the clear importance of the state association.

Other important factors were:

- the independent status of the institution
- the institution's reliance on state aid to students
- people who influence the institution's public policy stance or advise the president
- personal relationships with the Governor or state legislators
- the president's personality
- forms of communication used by the President in relating to state government officials
- meetings/seminars/conferences attended by the president which address political matters

The most unimportant factors were:

- the institution's proximity to the state capital
- the president's previous nonacademic work experience and previous experience as president

Respondents' perceptions of three factors were split between "important" and "unimportant":

- the institution's reliance on federal monies
- the president's academic background and preparation
- the specific nature of an institution, specifically, its church affiliation or non-church affiliation

3. The method of interaction used most often by the respondents in their relationships with state government officials was that of providing information about one's institution to the officials.

Methods used occasionally were:

- inviting state officials to speak to student groups or classes, to give a Commencement address, or to be present at significant campus events or celebrations
- making suggestions to elected officials regarding possible legislation to solve problems particular to the independent sector
- informing elected officials of the effects on one's institution of existing state laws and regulations, and the Governor's proposed education budget

The respondents reported that they rarely or never used the following methods of relating to state officials:

- extending personal favors
- attending legislative committee meetings
- awarding an honorary degree to state officials
- asking state officials to be present at Commencements
- inviting officials to address alumni groups or professional educator groups

While almost half of the respondents indicated that they regularly or occasionally sponsored a social gathering for state officials, the other half indicated that they rarely or never engaged in such an activity.

4. In question XI of the questionnaire, the respondents were asked to rate the effectiveness of the same group of selected tactics stated in question VIII in influencing the voting patterns of elected state government officials.

The most effective tactics were related to communications from educators to state officials:

- providing information about one's institution to state officials
- making suggestions to state officials regarding possible legislation to solve problems particular to independent higher education
- informing state officials of the effect on one's institution of existing state laws and regulations, and the Governor's proposed education budget

Invitations to state government officials to speak to student groups/classes, to give a Commencement address, to address professional groups of educators, or to be present at significant campus events or celebrations were perceived more often as effective than ineffective.

Responses to the perceptions of the effectiveness of two tactics were almost divided equally between "effective" and "ineffective":

- inviting state officials to address alumni groups
- asking state officials to be present at Commencements

Of the 11 questions in the questionnaire, question XI elicited the highest number of responses in the "do not know" response category. The tactic receiving the highest frequency and percentage of

response for that category was "extending personal favors to elected state government officials."

5. The key participants in the relationship between independent colleges and universities were: the state officials with whom the institutions relate, namely, the legislators from the institution's district and the members of the legislative Education/Higher Education and Appropriations Committees; and the individuals who influence the positions and actions taken by the institutions in state public policy matters, namely, the executive administrators of the institution, the Board of Trustees, and the state association of independent colleges and universities. When support groups were enlisted to lend support on a state public policy issue affecting the sector or an institution, the respondents indicated that they occasionally asked administrators, faculty or staff, alumni, trustees, and civic, corporate, or business leaders. Students and religious or church leaders were rarely asked to lend support.

6. Regarding preferred forms of communication, the respondents indicated that they preferred to write a personal letter when communicating with the Governor, key legislators related to an issue, and other legislators. When communicating with their district legislator, they preferred telephone calls and personal letters.

7. For their relationships with elected state government officials, the respondents indicated that the most helpful advice they received came from three sources:

--another independent college or university president within
the state

--a member of the state legislature

--the staff of the state association of independent colleges and universities

8. The Chronicle of Higher Education and publications from the state association of independent colleges and universities were the publications most frequently cited by the respondents for providing them with helpful information for their relationships with the Governor and state legislators.

Results of Testing of Hypotheses

As stated in Chapter III, 10 research hypotheses were formulated to provide additional information related to questions I, V, VI, VII, VIII, and XI in the questionnaire. A correlation of the hypotheses to the research questions of the study and to the applicable questionnaire questions can be found in Appendix N.

As noted at the end of Chapter III, an alpha level was set for each of the null hypotheses using the Bonferroni Inequality Technique so as not to compound the overall alpha level. The SPSS subprogram, CROSSTABS, was used to provide the chi-square statistic, appropriate degrees of freedom, and levels of significance for each hypothesis tested.

Hypotheses 1 and 2

H01: There is no significant relationship between respondents' state location and their perceptions of the importance of factors which may or may not affect the relationship of the independent sector of higher education to state governments in Region I of NAICU.

H0₂: There is no significant relationship between presidential tenure and the respondents' perceptions of the importance of factors which may or may not affect the relationship of the independent sector of higher education to state governments in Region I of NAICU.

As noted in Chapter III, when responses to questions I, VI, VIII, and XI in the questionnaire covered the range of response categories, further analyses by specified independent variables would be pursued. Since responses to question I revealed a high degree of unanimity and homogeneity to all but 3 of the 17 factors, analyses to identify a relationship to the independent variables, "state location" and "presidential tenure," were deemed unnecessary and meaningless by the investigator. Responses to items I-c, I-h, and I-l revealed a small variance of opinion (as noted earlier in this chapter) but not of sufficient magnitude to warrant further investigation among states or tenure categories. Accordingly, for the purposes of this study, the null hypotheses for question I were tenable.

Hypothesis 3

H0₃: There is no significant relationship between respondents' state location and their perceptions of the importance of factors which may or may not affect the relationship of an individual independent college or university to its respective state government in Region I of NAICU.

Hypothesis 3 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "state location," and the respondents' perceptions of the degrees of importance of each of a select group of 19 factors (presented in Question V) in affecting the relationship of an individual independent college or university to elected state government officials.

The level of significance for each of the 19 tests was set at .005 (using the Bonferroni Technique).

Table 4.17 is a presentation of the obtained raw chi-square value, degrees of freedom, level of significance, and number of respondents for each of the 19 factors tested by state location. Given the evidence presented by the data, for the purposes of this study, the null hypothesis was rejected.

Table 4.17: Summary of Statistics for Hypothesis 3

Question V: Factors	<u>n</u> ^a	χ^2 ^b	<u>df</u> ^c	Sig. ^d
a	147	33.11	30	.3179
b	148	39.25	40	.5036
c	148	81.74	40	.0001
d	143	62.68	40	.0124
e(1)	144	69.82	40	.0024
(2)	139	47.19	40	.2023
(3)	139	69.87	40	.0024
f	145	40.96	40	.4281
g	145	100.60	40	.0000
h	146	42.49	40	.3644
i	146	53.20	40	.0790
j	148	66.24	40	.0056
k	147	64.39	40	.0086
l	144	73.13	40	.0011
m	145	45.33	40	.2593
n	146	63.34	40	.0108
o	146	59.62	40	.0236
p	148	64.46	40	.0084
q	149	40.50	30	.0956

^aNumber of respondents.

^bObtained raw chi-square value.

^cDegrees of freedom.

^dObtained significance level.

It is noted that significance levels of .005 and less were obtained for the following five factors in question V, indicating statistically significant relationships to respondents' state location:

- V-c. the institution's reliance on state aid to students
- V-e. the specific nature of the institution
 - (1) college or university
 - and
 - (3) enrollment size
- V-g. political literature or information read by the president
- V-l. people who advise the president on public policy matters

Tables 4.18, 4.19, 4.20, 4.21, and 4.22 are crosstabulation presentations of the frequencies and percentages of respondents' perceptions of the importance of the above-named factors by their respective state location.

Table 4.18 is a crosstabulation presentation of responses to the importance of an institution's reliance on state aid to students (V-c) by state location. Frequencies and percentages of responses for each response category are shown by state. The obtained raw chi-square was 81.74 with 40 degrees of freedom at the .001 level of significance.

Respondents in 7 of the 11 states perceived an institution's reliance on state aid to be important. Combining the percentages of respondents in the categories "very important" and "important" yielded a percentage of 75 or more for respondents in Illinois, Indiana, Iowa, Kansas, Minnesota, Missouri, and Wisconsin. It is noted that all of the Wisconsin responses were found in the two categories just mentioned--50% in each category.

Table 4.18: Frequencies and Percentages^a of Responses by State to V-c: Importance of an Institution's Reliance on State Aid to Students

State	Response Categories											
	Very Important		Important		Unimportant		Very Unimportant		Do Not Know			
	f	%	f	%	f	%	f	%	f	%	f	%
Illinois	13	46.4	12	42.9	3	10.7	0	0	0	0	0	0
Indiana	6	28.6	10	47.6	4	19.0	0	0	1	4.8		
Iowa	5	35.7	8	57.1	1	7.1	0	0	0	0	0	0
Kansas	5	38.5	6	46.2	1	7.7	0	0	1	7.7		
Michigan	6	31.6	7	36.8	3	15.8	1	5.3	2	10.5		
Minnesota	8	57.1	3	21.4	3	21.4	0	0	0	0		
Missouri	2	15.4	9	69.2	2	15.4	0	0	0	0		
Nebraska	0	0	2	33.3	1	16.7	3	50.0	0	0		
North Dakota	0	0	0	0	0	0	1	100.0	0	0		
South Dakota	1	20.0	2	40.0	0	0	1	20.0	1	20.0		
Wisconsin	7	50.0	7	50.0	0	0	0	0	0	0		
Column totals	53		66		18		6		5			

Note. $\chi^2 = 81.74$ $df = 40$ $p = .0001$

^aPercentages for all tables displaying differences by state are row percentages based on the number of respondents per state.

Michigan respondents were the only ones whose responses covered the range of five response categories, and their perceptions of the importance of the factor were not as high as the seven states mentioned above.

Combining the percentages in the categories "very unimportant" and "unimportant" yielded a percentage of 66.7 for Nebraska's respondents. The North Dakota respondent perceived the factor as "very unimportant," while the respondents from South Dakota reflected a variance of opinion. Of the five South Dakota respondents, 60% perceived the factor to be important (20% = "very important" and 40% = "important"), 20% "very unimportant," and 20% of the respondents "did not know" the importance of V-c as a factor affecting the relationship of an individual college or university to state government officials.

Table 4.19 is a crosstabulation presentation of respondents' perceptions of the importance of the specific nature of an institution, specifically its classification as either a college or a university (V-3[1]), by state location. The obtained raw chi-square was 69.82 with 40 degrees of freedom at the .0024 significance level.

Most of the respondents' perceptions of the importance of item V-3(1) revealed a range of opinion. However, 92.3% of the Kansas respondents clearly perceived the factor as important: 76.9% perceived it as "important" and 15.4% as "very important."

Combining the response categories "very important" and "important" revealed that more than 60% of the responses from respondents

Table 4.19: Frequencies and Percentages of Responses by State to V-e(1): Importance of the Specific Nature of the Institution--College or University

State	Response Categories							
	Very Important		Important		Unimportant		Very Unimportant	
	f	%	f	%	f	%	f	%
Illinois	4	14.8	12	44.4	9	33.3	2	7.4
Indiana	1	5.0	6	30.0	12	60.0	0	0
Iowa	0	0	8	57.1	5	35.7	1	7.1
Kansas	2	15.4	10	76.9	0	0	1	7.7
Michigan	1	5.3	11	57.9	5	26.3	1	5.3
Minnesota	3	25.0	2	16.7	5	41.7	1	8.3
Missouri	1	7.7	8	61.5	1	7.7	2	15.4
Nebraska	0	0	4	66.7	1	16.7	1	16.7
North Dakota	0	0	0	0	0	0	0	0
South Dakota	1	20.0	1	20.0	3	60.0	0	0
Wisconsin	1	7.1	5	35.7	8	57.1	0	0
Column totals	14		67		49		9	

Note. $\chi^2 = 69.82$ $df = 40$ $p = .0024$

in Michigan, Missouri, and Nebraska were found in those two categories.

The modal response for Illinois and Iowa was "important," whereas the modal response for Indiana, Minnesota, South Dakota, and Wisconsin was "unimportant." The North Dakota respondent "did not know" the importance of the factor.

A crosstabulation of respondents' perceptions of the importance of question V-e(3), "specific nature of the institution," namely, "enrollment size" by state location is shown in Table 4.20. The obtained raw chi-square was 69.87 with 40 degrees of freedom at the .0024 level of significance.

Respondents' perceptions of the importance of V-e(3) revealed state-by-state differences. The modal response for the following eight states was "important": Illinois, Indiana, Iowa, Kansas, Michigan, Missouri, Nebraska, and Wisconsin. It is noted that, except for Missouri, the percentage of respondents in the modal response category for each state was between 45 and 58%. Missouri's percentage of response in that category was 76.9%.

The modal response for Minnesota respondents was "unimportant," whereas there was no modal response for South Dakota respondents: 40% perceived the factor as "unimportant," 40% as "important," and 20% as "very important." The overall response from South Dakota was "important."

The respondent from North Dakota "did not know" the importance of the factor.

Table 4.20: Frequencies and Percentages of Responses by State to V-e(3): Importance of the Specific Nature of the Institution--Enrollment Size

State	Response Categories									
	Very Important		Important		Unimportant		Very Unimportant		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
Illinois	1	3.7	14	51.9	11	40.7	1	3.7	0	0
Indiana	2	10.5	11	57.9	5	26.3	0	0	1	5.3
Iowa	1	7.7	7	53.8	4	30.8	1	7.7	0	0
Kansas	3	23.1	7	53.8	2	15.4	0	0	1	7.7
Michigan	0	0	11	57.9	7	36.8	1	5.3	0	0
Minnesota	1	8.3	3	25.0	6	50.0	1	8.3	1	8.3
Missouri	1	7.7	10	75.9	2	15.4	0	0	0	0
Nebraska	1	16.7	3	50.0	0	0	2	33.3	0	0
North Dakota	0	0	0	0	0	0	0	0	1	100.0
South Dakota	1	20.0	2	40.0	2	40.0	0	0	0	0
Wisconsin	2	18.2	5	45.5	3	27.3	1	9.1	0	0
Column totals	13		73		42		7		4	

Note. $\chi^2 = 69.87$ $df = 40$ $p = .0024$

Table 4.21 is a presentation by state location of the respondents' perceptions of the importance of political literature or information read by the president (question V-g). The obtained raw chi-square was 100.60 with 40 degrees of freedom at the .0000 level of significance.

Respondents from Kansas, Nebraska, and South Dakota clearly perceived the factor as an important one.

Combining percentages of responses in the categories "very important" and "important" yielded a percentage range of 57-70 for respondents in Illinois, Indiana, Iowa, and Wisconsin.

The perceptions of respondents from Missouri were split between important and unimportant: 46.2% perceived the factor as "important," while 46.2% perceived it as unimportant when the response categories "unimportant" (38.5%) and "very unimportant" (7.7%) were combined.

While the modal response for Minnesota was "important" (50%), it is noted that 42.9% of the respondents perceived the factor as "unimportant" and 7.1% perceived it as "very unimportant" ($42.9\% + 7.1\% = 50.0\%$). The same situation was revealed in the Michigan responses: 50% of the respondents perceived V-g as "important," but 38% perceived it as "unimportant" and 11.1% as "very unimportant" ($38.9\% + 11.1\% = 50.0\%$).

Table 4.22 is a presentation by states of the respondents' perceptions of the importance of the people who advise the president on public policy matters (question V-1). The obtained raw chi-square was 73.13 with 40 degrees of freedom at the .0011 level of significance.

Table 4.21: Frequencies and Percentages of Responses by State to V-g: Importance of Political Literature or Information Read by the President

State	Response Categories									
	Very Important		Important		Unimportant		Very Unimportant		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
Illinois	3	11.1	14	51.9	8	29.6	2	7.4	0	0
Indiana	1	5.0	13	65.0	5	25.0	1	5.0	0	0
Iowa	2	14.3	7	50.0	5	35.7	0	0	0	0
Kansas	2	15.4	10	76.9	1	7.7	0	0	0	0
Michigan	0	0	9	50.0	7	38.9	2	11.1	0	0
Minnesota	0	0	7	50.0	6	42.9	1	7.1	0	0
Missouri	0	0	6	46.2	5	38.5	1	7.7	1	7.7
Nebraska	0	0	5	83.3	1	16.7	0	0	0	0
North Dakota	0	0	0	0	0	0	0	0	1	100.0
South Dakota	0	0	4	80.0	0	0	1	20.0	0	0
Wisconsin	1	7.1	7	50.0	6	42.9	0	0	0	0
Column totals	9		82		44		8		2	

Note. $\chi^2 = 100.60$ $df = 40$ $p = .0000$

Table 4.22: Frequencies and Percentages of Responses by State to V-1: Importance of People Who Advise the President on Public Policy Matters

State	Response Categories									
	Very Important		Important		Unimportant		Very Unimportant		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
Illinois	3	11.5	20	76.9	2	7.7	1	3.8	0	0
Indiana	1	5.0	13	65.0	4	20.0	1	5.0	1	5.0
Iowa	1	7.1	8	57.1	5	35.7	0	0	0	0
Kansas	1	8.3	9	75.0	2	16.7	0	0	0	0
Michigan	5	26.3	11	57.9	3	15.8	0	0	0	0
Minnesota	1	7.1	10	71.4	3	21.4	0	0	0	0
Missouri	0	0	8	61.5	3	23.1	1	7.7	1	7.7
Nebraska	0	0	2	33.3	2	33.3	2	33.3	0	0
North Dakota	0	0	0	0	0	0	0	0	1	100.0
South Dakota	1	20.0	3	60.0	1	20.0	0	0	0	0
Wisconsin	0	0	9	64.3	3	21.4	1	7.1	1	7.1
Column totals	13		93		28		6		4	

Note. $\chi^2 = 73.13$ $df = 40$ $p = .0011$

Responses to the importance of V-1 revealed state-by-state differences. The modal response for the respondents from Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, South Dakota, and Wisconsin was "important," with responses ranging from 57-77%. Combining percentages in the response categories "very important" and "important" yielded percents of more than 75 for respondents from five of the nine states mentioned above: Illinois, Kansas, Michigan, Minnesota, and South Dakota.

In Nebraska, no modal response emerged: one-third of the respondents perceived the factor as "very unimportant," as "unimportant," and as "important." Nebraska's overall perception was "unimportant."

Hypothesis 4

H04: There is no significant relationship between presidential tenure and respondents' perceptions of the importance of factors which may or may not affect the relationship of an individual independent college or university to its respective state government in Region I of NAICU.

Hypothesis 4 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "presidential tenure," and the respondents' perceptions of the degrees of importance of each of a select group of factors (as presented in question V) in affecting the relationship of an individual independent college or university to elected state government officials.

Since presidential tenure ranged from 1 year or less to 28 years, the 23 categories represented by the range were collapsed to 3 categories:

- 1 = 1 year or less to 5 years
 2 = 6 years to 10 years
 3 = 11 years to 28 years

The three tenure categories were used for testing hypotheses 4, 6, 8, and 9.

The level of significance for each of the 19 factors of question V was set at .005 (using the Bonferroni Technique). Table 4.23 is a presentation of the obtained raw chi-square value, degrees of freedom, level of significance, and number of respondents for each of the 19 factors tested by presidential tenure. Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

Table 4.23: Summary of Statistics for Hypothesis 4

Question V: Factors	<u>n</u>	χ^2	<u>df</u>	Sig.
a	146	2.26	6	.8942
b	147	7.04	8	.5322
c	147	6.60	8	.5807
d	142	9.97	8	.2669
e(1)	143	8.73	8	.3653
(2)	138	5.71	8	.6794
(3)	138	8.72	8	.3667
f	144	11.25	8	.1881
g	144	10.26	8	.2473
h	145	6.53	8	.5879
i	145	3.95	8	.8618
j	147	7.15	8	.5203
k	146	20.27	8	.0094
l	143	4.40	8	.8194
m	144	12.66	8	.1242
n	145	15.60	8	.0484
o	145	4.33	8	.8263
p	147	13.44	8	.0977
q	148	10.95	6	.0899

Hypothesis 5

H05: There is no significant relationship between respondents' state location and their reported use of various methods and tactics to relate to elected state government officials.

Hypothesis 5 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "state location," and the respondents' reported use of each of a select group of methods/tactics (presented in question VIII-a to j).

The level of significance for each of the 15 tests was set at .007 (using the Bonferroni Technique). Table 4.24 is a presentation of the obtained raw chi-square, degrees of freedom, levels of significance, and number of respondents for each of the methods tested by state location. Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

Table 4.24: Summary of Statistics for Hypothesis 5

Question VIII: Methods/Tactics	<u>n</u>	χ^2	<u>df</u>	Sig.
a	149	26.92	30	.6275
b(1)	147	19.33	20	.5004
(2)	147	30.32	30	.4493
(3)	146	18.26	30	.9542
(4)	147	21.05	30	.8863
c	149	23.30	20	.2745
d	149	38.65	30	.1338
e(1)	149	26.31	30	.6591
(2)	148	29.43	30	.4951
(3)	149	47.61	30	.0217
f	148	52.95	30	.0060
g	149	13.53	20	.8537
h	149	28.39	30	.5498
i	149	28.35	30	.5517
j	149	17.57	20	.6157

It is noted that the level of significance obtained for VIII-f, "sponsoring a social gathering for elected state government officials," was .0060, indicating a statistically significant relationship between respondents' location by state and their use of that particular activity. Table 4.25 is a presentation of frequencies and percentages of responses by state. The obtained raw chi-square value was 52.95 with 30 degrees of freedom at the .006 significance level.

Respondents from Illinois, Indiana, Iowa, Kansas, North Dakota, and South Dakota "occasionally" or "regularly" sponsored a social gathering, while the respondents from Michigan, Minnesota, Missouri, Nebraska, and Wisconsin "rarely" or "never" sponsored a social gathering for state government officials. However, it is noted that the modal response for Wisconsin was "occasionally." The same percentage of South Dakota respondents sponsored a social gathering "regularly" as those who "rarely" and "never" engaged in the activity.

In Nebraska, 67% of the respondents "never" sponsored a social gathering, while in Kansas 77% of the respondents "occasionally" did and in Indiana 18.2% "regularly" sponsored such an activity. In Iowa 50.0% of the respondents "occasionally" sponsored a social gathering, whereas in Minnesota 50.0% "rarely" did and in Missouri 46.2% "never" engaged in the activity.

Hypothesis 6

H06: There is no significant relationship between presidential tenure and respondents' reported use of various methods and tactics to relate to elected state government officials.

Table 4.25: Frequencies and Percentages of Responses by State to VIII-f: Frequency of Sponsoring Social Gatherings for State Officials

State	Response Categories							
	Regularly		Occasionally		Rarely		Never	
	f	%	f	%	f	%	f	%
Illinois	4	14.8	11	40.7	9	33.3	3	11.1
Indiana	4	18.2	10	45.5	5	22.7	3	13.6
Iowa	2	14.3	7	50.0	4	28.6	1	7.1
Kansas	2	15.4	10	76.9	1	7.7	0	0
Michigan	0	0	3	15.8	9	47.4	7	36.8
Minnesota	1	7.1	3	21.4	7	50.0	3	21.4
Missouri	0	0	4	30.8	3	23.1	6	46.2
Nebraska	0	0	1	16.7	1	16.7	4	66.7
North Dakota	1	100.0	0	0	0	0	0	0
South Dakota	1	20.0	2	40.0	1	20.0	1	20.0
Wisconsin	0	0	6	42.9	5	35.7	3	21.4
Column totals	15		57		45		31	

Note. $\chi^2 = 52.95$ $df = 30$ $p = .006$

Hypothesis 6 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "presidential tenure," and the respondents' reported use of each of a select group of methods/tactics (as presented in question VIII-a to j).

Using the Bonferroni Technique, the level of significance for each of the 15 tests was set at .007. Table 4.26 is a presentation of the obtained raw chi-square value, degrees of freedom, level of significance, and number of respondents for each of the 15 methods tested. Given the evidence presented by the data, for the purpose of this study, the null hypothesis was tenable.

Table 4.26: Summary of Statistics for Hypothesis 6

Question VIII: Methods/Tactics	<u>n</u>	χ^2	<u>df</u>	Sig.
a	148	11.57	6	.0723
b(1)	146	.92	4	.9220
(2)	146	1.66	6	.9480
(3)	145	7.42	6	.2836
(4)	146	12.83	6	.0458
c	148	2.74	4	.6029
d	148	7.35	6	.2899
e(1)	148	11.05	6	.0868
(2)	147	6.84	6	.3356
(3)	148	16.00	6	.0137
f	147	8.85	6	.1821
g	148	8.00	4	.0915
h	148	2.99	6	.8099
i	148	3.46	6	.7494
j	148	.72	4	.9489

Hypothesis 7

H07: There is no significant relationship between respondents' location by state and their perceptions of the effectiveness of a select group of methods and tactics to influence the voting patterns of elected state government officials.

Hypothesis 7 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "state location," and the respondents' perceptions of the effectiveness of each of a select group of methods/tactics (as presented in question XI-a to j) in influencing the voting patterns of elected state government officials.

Using the Bonferroni Technique, the level of significance for each of the 15 tests was set at .007. Table 4.27 is a presentation of the obtained raw chi-square value, degrees of freedom, levels of significance, and number of respondents for each of the 15 tests. Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

It is noted that the obtained level of significance for XI-a, "attending legislative committee meetings," was .0023, indicating a statistically significant relationship between state location and the respondents' perceptions of the effectiveness of that activity. Table 4.28 is a presentation of the frequencies and percentages of respondents' perceptions of the effectiveness of XI-a by state location. The obtained raw chi-square value was 70.00 with 40 degrees of freedom at the .0023 level of significance.

Respondents from Illinois, Indiana, Kansas, Michigan, Minnesota, and South Dakota perceived factor XI-a to be basically effective.

The combination of percentages for the response categories "very effective" and "effective" for those states ranged from 61.5% to 80%.

Table 4.27: Summary of Statistics for Hypothesis 7

Question XI: Methods/Tactics	<u>n</u>	χ^2	<u>df</u>	Sig.
a	145	70.00	40	.0023
b(1)	146	51.51	40	.1050
(2)	147	39.17	40	.5072
(3)	144	38.02	40	.5598
(4)	143	62.35	40	.0134
c	145	44.58	30	.0422
d	146	43.91	30	.0486
e(1)	147	44.46	40	.2894
(2)	147	49.59	40	.1423
(3)	146	52.47	40	.0894
f	145	50.09	40	.1317
g	145	31.56	40	.8272
h	146	44.90	40	.2741
i	145	38.22	40	.5504
j	144	31.63	40	.8251

Iowa and North Dakota respondents perceived the activity as ineffective. Respondents from Wisconsin and Nebraska were split in their perceptions of the effectiveness of XI-a.

In Wisconsin, 28.6% rated it as "ineffective," 35.7% as "effective," and 35.7% as "do not know." In Nebraska, 40% rated XI-a as "very effective," whereas 20% perceived it to be "ineffective" and 20% as "very ineffective."

Michigan and Missouri respondents revealed inverse responses: In Michigan the modal response was "effective" (47.4%) followed by

Table 4.28: Frequencies and Percentages of Responses by State to Effectiveness of XI-a: Attending Legislative Committee Meetings

State	Response Categories									
	Very Effective		Effective		Ineffective		Very Ineffective		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
Illinois	1	3.8	15	57.7	6	23.1	0	0	4	15.4
Indiana	4	18.2	11	50.0	4	18.2	1	4.5	2	9.1
Iowa	0	0	4	30.8	8	61.5	0	0	1	7.7
Kansas	0	0	10	76.9	2	15.4	0	0	1	7.7
Michigan	0	0	9	47.4	2	10.5	1	5.3	7	36.8
Minnesota	1	7.1	9	64.3	2	14.3	0	0	2	14.3
Missouri	1	7.7	4	30.8	2	15.4	0	0	6	46.2
Nebraska	2	40.8	0	0	1	20.0	1	20.0	1	20.0
North Dakota	0	0	0	0	1	100.0	0	0	0	0
South Dakota	2	40.0	2	40.0	1	20.0	0	0	0	0
Wisconsin	0	0	5	35.7	4	28.6	0	0	5	35.7
Column totals	11		69		33		3		29	

Note. $\chi^2 = 70.00$ $df = 40$ $p = .0023$

"do not know" (36.8%), whereas in Missouri the modal response was "do not know" (46.2%) followed by "effective" (30.8%).

Hypothesis 8

H08: There is no significant relationship between presidential tenure and the respondents' perceptions of the effectiveness of a select group of methods and tactics to influence the voting patterns of elected state government officials.

Hypothesis 8 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "presidential tenure," and the respondents' perceptions of the effectiveness of each of a select group of methods/tactics (as presented in question XI-a to j) in influencing the voting patterns of state government officials.

The level of significance for each of the 15 tests was set at .007 (using the Bonferroni Technique). Table 4.29 is a presentation of the obtained raw chi-square value, degrees of freedom, level of significance, and number of respondents for each of the 15 tests.

Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

It is noted that the obtained level of significance for XI-a, "attending legislative committee meetings," was .0038, indicating a statistically significant relationship between "presidential tenure" and the respondents' perceptions of the effectiveness of that method in influencing voting patterns.

Table 4.29: Summary of Statistics for Hypothesis 8

Question XI: Methods/Tactics	<u>n</u>	χ^2	<u>df</u>	Sig.
a	144	22.71	8	.0038
b(1)	145	6.92	8	.5449
(2)	146	4.49	8	.8107
(3)	143	4.71	8	.7882
(4)	142	5.63	8	.6886
c	144	3.19	6	.7843
d	145	9.41	6	.1520
e(1)	146	3.99	8	.8585
(2)	146	5.30	8	.7246
(3)	145	7.29	8	.5053
f	144	7.48	8	.4857
g	144	4.87	8	.7709
h	145	9.28	8	.3188
i	144	17.33	8	.0269
j	143	3.14	8	.9253

Table 4.30 is a presentation of the frequencies and percentages of responses to XI-a by presidential tenure categories. The obtained raw chi-square value was 22.71 with 8 degrees of freedom at the .0038 level of significance. Row and column percentages are presented.

The more inexperienced presidents had fewer opinions of the effectiveness of attending legislative committee meetings. Of the 29 respondents in the "do not know" category, 75.9% had been in office from one to five years. Those who had been in office six years and more rated XI-a as "effective" or "very effective." The responses of the less experienced presidents (1-5 years) were almost equally split between "very ineffective" plus "ineffective" (30.6% combined) and "effective" plus "very effective" (38.9% combined).

Table 4.30: Frequencies and Percentages of Responses by Presidential Tenure to Effectiveness of
 XI-a: Attending Legislative Committee Meetings

Presidential Tenure (in years)	Response Categories									
	Very Effective		Effective		Ineffective		Very Ineffective		Do Not Know	
	f	%	f	%	f	%	f	%	f	%
1-5	4	5.6 ^a 36.4 ^b	24	33.3 35.3	20	27.8 60.6	2	2.8 66.7	22	30.6 75.9
6-10	2	4.7 18.2	30	69.8 44.1	7	16.3 21.2	0	0 0	4	9.3 13.8
11-28	5	17.2 45.5	14	48.3 20.6	6	20.7 18.2	1	3.4 33.3	3	10.3 10.3
Column totals	11		68		33		3		29	

Note. $\chi^2 = 22.71$ $df = 8$ $p = .0038$

^aRow percentages.

^bColumn percentages.

The modal response for the most experienced presidents (11-28 years) was "effective," with 48.3% of their responses in that category. The modal response for presidents in the 6-10 year group was "effective," with 69.8% of their responses in that category.

In the response category "very effective," the highest percentage of responses (45.5%) was in the 11-28 year group, whereas the highest percentage of response in the "effective" category (44.1%) was in the 6-10 year group. The highest percentages of responses in the "ineffective" and "very ineffective" response categories were in the 1-5 year group, 60.6% and 66.7%, respectively.

Hypothesis 9

H0g: There is no significant relationship between presidential tenure and respondents' reported use of support groups in their relationships with elected state government officials.

Hypothesis 9 was formulated to test whether a systematic, statistical relationship existed between the independent variable, "presidential tenure," and the use of support groups by respondents in their effort to make state government officials aware of effects of an issue on their institution or on independent higher education.

Table 4.31 is a presentation of the obtained raw chi-square value, degrees of freedom, level of significance, and number of respondents for each of the seven tests. The level of significance for this test was set at .014 (using the Bonferroni Technique). Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

Table 4.31: Summary of Statistics for Hypothesis 9

Support Group	<u>n</u>	χ^2	<u>df</u>	Sig.
a. Administrators	148	15.20	6	.019
b. Faculty or staff	148	5.96	6	.428
c. Students	148	6.27	6	.393
d. Alumni	146	5.20	6	.518
e. Trustees	148	7.09	6	.312
f. Civic/corporate/ business leaders	148	6.15	6	.407
g. Church/religious leaders	148	2.18	6	.903

Hypothesis 10

H010: There is no significant relationship between mileage and the respondents' reported use of forms of communication with elected state government officials.

Hypothesis 10 was formulated to test whether a systematic statistical relationship exists between the independent variable, mileage, and the forms of communication preferred by respondents when they communicated with:

- a. the Governor
- b. legislator(s) from the institution's district
- c. key legislators related to the issue
- d. other legislators

regarding the impact of pending legislation on independent higher education.

The level of significance for each of the four tests was set at .025 (using the Bonferroni Technique). Table 4.32 is a presentation of the obtained raw chi-square value, degrees of freedom, level of

significance, and number of respondents for each of the four tests. Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

Table 4.32: Summary of Statistics for Hypothesis 10

State Officials	<u>n</u>	χ^2	<u>df</u>	Sig.
a. the Governor	140	15.85	12	.198
b. district legislator	136	17.92	16	.329
c. key legislators	139	26.33	16	.050
d. other legislators	139	16.93	16	.390

Summary

The results of the testing of the study's 10 null hypotheses were presented in the preceding section. Nine hypotheses were tenable. Hypothesis 3 was rejected.

While differences of opinion were reflected by the respondents to the questionnaire items, when tested by the designated independent variable, the differences to the following questions did not indicate statistically significant relationships to the independent variable:

<u>Questionnaire Question</u>	<u>and</u>	<u>Independent Variable</u>
I. Importance of selected factors in affecting the relationship of the independent sector to state governments		State Location (H0 ₁) Presidential Tenure (H0 ₂)
V. Importance of selected factors in affecting the relationship of an individual independent institution to elected state government officials		Presidential Tenure (H0 ₄)

VI. Preferred forms of communication	Mileage (HO ₁₀)
VII. Use of support groups in government relations	Presidential Tenure (HO ₉)
VIII. Frequency of use of selected methods in relating to elected state government officials	State Location (HO ₅) Presidential Tenure (HO ₆)
XI. Perceived effectiveness of selected activities/tactics in influencing the voting of legislators	State Location (HO ₇) Presidential Tenure (HO ₈)

Although hypotheses 5, 7, and 8 were tenable, it is noted that the levels of significance obtained for VIII-f ("sponsoring a social gathering for elected officials") and state location, and XI-a ("attending legislative committee meetings") and state location and presidential tenure indicated statistically significant relationships between those activities and the specified independent variables.

Hypothesis 3 was rejected. Statistically significant relationships were found between the independent variable, "state location," and the perceived importance of the following factors (from question V) in affecting the relationship of an individual independent institution's relationship to state officials:

- V-c. the institution's reliance on state aid to students
- V-g. political literature or information read by the president
- V-l. people who advise the president on public policy matters
- V-e. the specific nature of the institution
 - (1) college or university
 - and
 - (3) enrollment

CHAPTER V

ANALYSIS OF THE INTERVIEWS

Introduction

This chapter contains a presentation and analysis of the information gathered from the interviews conducted by the investigator with 17 of the 22 (77%) Michigan independent college and university presidents in the study population. The institutions represented by the interviewees can be found in Appendix O.

The first section of Chapter V is a profile of the interviewees and their institutions. The second section is a presentation of the major findings from the interviews held between May 13, 1980, and June 5, 1980. The interview guide and interview questions can be found in Appendix C.

Profile of Interviewees Using Selected Factors

Personal Profile

Education. Table 5.1 is a presentation of the interviewees' educational level by highest degree earned. Of the 17 presidents, 12% earned a master's degree, 71% the doctoral degree, 6% a professional degree, and 12% a doctoral and a professional degree. Of the two presidents who held a master's degree, one had been awarded an honorary doctoral degree.

Table 5.1: Frequencies and Percentages of Educational Level of Interviewees by Highest Degree Earned

Degree Earned	<u>f</u>	% ^a
Master's	2	12
Doctoral	12	71
Professional	1	6
Doctoral and professional	2	12
Total	17	100 ^b

^aPercentages are based on number of interviewees (17).

^bDue to rounding, percentage column totals may not equal 100.0%.

Tenure. Table 5.2 is a presentation of the presidential tenure of the interviewees. Presidential tenure ranged from less than 1 year to 24 years. Of the 17 interviewees, 11 presidents (65%) had been in office 4 years and less, 4 had been president between 6 and 10 years, 1 had been president for 11 years, and 1 for 24 years. The mean tenure in years ($\bar{X}$) for the interview population was approximately five and one-half years.

Previous experience as a president. Of the 17 interviewees, 2 had previous presidential experience--1 at one other institution (in the state of Michigan) and 1 at two other institutions (both outside the state of Michigan). The institutions represented in the previous presidencies were independent colleges.

Table 5.2: Frequencies and Percentages of Presidential Tenure of Interviewees by Years in Office

Years in Office	<u>f</u>	%
1 or less	3	18
2	1	6
3	4	23
4	3	18
6	1	6
7	1	6
8	1	6
9	1	6
11	1	6
24	1	6
Total	17	100

Note: Mean tenure = 5.53.

Institutional Profile

Enrollment. Table 5.3 is a presentation of institutional enrollment categories by frequencies and percentages as reported by the 17 interviewees in the questionnaire. The institutions represented by the interviewees fell into three of the six enrollment categories. More than 85% of the 17 institutions had enrollments between 500 and 2,499 students.

Mileage. All of the 17 institutions represented by the interviewees were between 1 and 150 miles from Lansing, Michigan (the state capital), with all but one between 1 and 100 miles. Of the 17, 2 were between 1-50 miles, 14 between 51-100 miles, and 1 between 100-150 miles from Lansing.

Table 5.3: Frequencies and Percentages of Enrollment of Interviewees' Institutions by Enrollment Categories

Enrollment Categories	<u>f</u>	%
200- 499	-	-
500- 999	6	35
1,000- 2,499	9	53
2,500- 4,999	2	12
5,000- 9,999	-	-
10,000-19,999	-	-
Total	17	100

Association membership. All 17 interviewees were members of the Association of Independent Colleges and Universities of Michigan (AICUM). Of the 17 Michigan presidents, 4 had served as chairperson of the Executive Committee of AICUM; 4 others had served or are presently serving as members of AICUM's Executive Committee.

Two of the 17 interviewees had served on the Board of Directors of NAICU representing Region I, and 1 of the 2 presidents served as Chairman of the NAICU Board of Directors for two terms.

Major Findings From Interview Data

As a result of the pilot test of the questionnaire, questions were raised as to the reasons or motivations behind some of the presidents' responses. The investigator developed a preliminary list of interview questions which were then pilot tested as noted in Chapter III. When approximately 50% of the 212 questionnaires were

returned, the investigator analyzed responses and finalized the list of interview questions (see Appendix C).

Presentation and analysis of interview data follow the numerical order of the interview questions. The correspondence of interview questions to questionnaire questions can be found in Appendix D.

Interview Question 1

Since early questionnaire responses revealed that some respondents had not ranked their responses (as stated in the directions to question II) and since four of the original eight questionnaire choices were emerging more frequently than the others, question 1 of the interview was aimed at refining the ranking of state officials on whom independent college and university presidents focused. Of the four state officials listed:

The Governor
State legislator from your institution's district
State legislators who are members of an Appropriations Committee
State legislators who are members of an Education Committee,

the interviewees' overall ranking was as follows:

- I. District legislator
- II. Education Committee legislators
- III. Appropriations Committee legislators
- IV. The Governor

The following differences in ranking by the Michigan presidents are noted: One president chose the Governor as number one, while another president ranked the district legislator as fourth. The Education Committee legislators were ranked second by 8 of the 16 interviewees; the Appropriations Committee legislators were ranked third by an equal number (8).

As in the questionnaire, one interviewee chose not to rank, stating, "We have had very little direct contact with state legislators at all. Our need is such it has not caused us to relate actively to state officials."

When asked why they ranked one state official over another, interviewees' responses centered around the following factors: political realities in the state of Michigan, accessibility of particular legislators, the political decision-making process, and the recommendations received from the Association of Independent Colleges and Universities (AICUM).

Responses indicated that the Michigan presidents had very little personal or direct contact with the Governor. Many perceived that to be a key role for the AICUM staff. Instead, the presidents said they focused on district legislators who were more available and accessible to them. Given the amount of time and energy they invested in political matters, the Michigan presidents perceived that the district legislator was the key official "most likely to have an interest in what we, as an institution, are trying to do" and if they "communicate effectively with him, he can certainly represent us."

The decision-making process and political realities of state government were the reasons given for the second, third, and fourth rankings. The Education Committee was perceived as where "the initiation of matters begins" and its work "can have an influence on appropriations." It is important, stated one interviewee, that focusing on the Education Committee "helps build a fundamental support

for what you're doing, builds an understanding of the issues, and the necessity of the programs" being supported or recommended for legislation. Another Michigan president found it difficult to rank the Education Committee over the Appropriations Committee or vice versa. Since legislative programs mean money, and "since the bottom line is to get financial aid for students, persuading the people who write the programs to write them in the appropriate fashion is as important as getting the money."

Some interviewees perceived the Appropriations Committee as being more influential than the Education Committee because it "wields the financial stick" and because "the appropriations process is more important than the authorization process" (a function of the Education Committee).

Many interviewees cited AICUM as the source of their direction for focusing on elected state government officials. Several cited the history of political realities in the state of Michigan regarding independent higher education as another clear factor. The history in Michigan has been "supportive legislation," but if the Governor were to veto such legislation, "the focus might be different."

At least 4 of the 17 presidents stated that the focus on particular elected state government officials would also be different if they were affiliated with a state or publicly supported college or university.

Interview Question 2

Question 2 was related to the use made by presidents of support groups (Trustees, administrators, faculty, students) in the political process at the state level and was aimed at eliciting the circumstances under which these groups would or would not be asked to lend support.

More than half of the interviewees said they would take direction from AICUM's President, John Gaffney, regarding the involvement of campus constituents. They felt the nature of the legislation or program under consideration, timeliness of enlisting support, and specific functions of the support groups were key factors to be considered prior to involving anyone other than the president. As one president said, to act without AICUM's direction "would endanger our solidarity." Another said that involvement of support groups needs to be "orchestrated" because "you don't want to throw the weight of your constituencies into an issue that is still being negotiated in a subcommittee." Another Michigan president stated that the use of such support groups must be "very judicious" because "you do not want to appear as if you're bringing undue pressure on state legislators," and "you want to select people who can give legislators or committees insights into the issues, important clarifications of issues, and information that will help [them] make an informed and prudent judgment."

If AICUM or legislators asked for information regarding impending educational legislation, most presidents said they would enlist the support of the administrators on their staff with the appropriate

background and expertise. Very few presidents recalled asking students or alumni to become involved in public policy issues, and one president mentioned a philosophical position of the institution against involving a faculty member or an alumnus. Several presidents cited specific instances or issues which would cause them to enlist the support of campus constituents. They were as follows:

. . . when the legislation has to do directly with the welfare of the institution or directly to do with the students of the institution. They would not be asked under any other circumstances.

. . . when their participation would add great strength to the argument, say a threat to direct student financial aid. . . .

. . . whenever a piece of legislation that directly affects them is at stake; for example, we would enlist the aid of students and their parents when any given piece of legislation directly or ultimately affects them.

. . . when general institutional policy is affected by proposed legislation, we would enlist our Trustees. . . .

It all depends on the nature of the legislation. I think the Legislature, as I know legislators, are affected by those of their constituency who are, themselves, affected by a proposed piece of legislation.

. . . if we're trying to get something across or if something is happening that is very detrimental to the institution, I can envision contacting some trustees who might have some influence.

Take student financial aid. If there would be a reduction, I think it would be very effective if students and parents were enlisted to deal directly with their legislators . . . and I know they are very persuasive because I've had some of our own legislators tell me so.

Interview Question 3

Respondents' perceptions of the importance of an institution's reliance on federal monies as a factor affecting their relationship

to their respective state government were the same for the pilot test, the 104 questionnaires analyzed prior to the interviews, and the 149 completed questionnaires from the study population. Respondents were split almost down the middle of the range of categories of importance, with a slightly higher percentage perceiving the factor as important, as opposed to unimportant. When asked about this phenomenon, almost all of the Michigan presidents perceived the factor as unimportant.

A couple of presidents saw the relationship as important. One interviewee said:

I don't have enough information to give a good judgment--only a guess--but they're related in a positive way. Heavy receipts from the federal government would be correlated positively with heavy receipts from the state.

Another president felt the factor could be important. "It would depend upon the institution's posture, as to whether it was a type of college that would serve a given geographic region of a state, or whether it had a national reputation."

Another college president whose institution relies upon federal support for special programs and services said:

For our college, I'd say it's important. We do have very specific federally funded programs. . . . For many of the federal programs, the endorsement is needed from state people. . . .

Regarding student aid, this same president said, "There's a close relationship between federal and state financial aid resources."

The interviewees who saw the factor of an institution's reliance on federal monies as unimportant to its relationship to state government provided the following comments:

One of the things you have to realize about the differences [between state and federal relationships] is that at the federal level the programs are set up regardless of whether you are a public or an independent institution, and the difference, of course, in the state of Michigan is that we have a number of programs which are geared quite specifically to the independent institutions.

I view these as two separate entities.

Our federal program monies do not have much impact on what we receive from the state. What we get from the federal government we get on the basis of merit and not need. They're quite independent.

I think the two are mutually exclusive . . . but that may vary with the individual institutions.

. . . what happens at the federal level tends to happen quite separately from what happens at the state level. . . . We view federal legislation to have less significance for state legislation . . . but there's a great variation among states. Michigan does a great deal for its private and independent sector and seemingly independent of much of what goes on at the federal level while that was not the case in Illinois.

Interview Question 4

As noted in Chapter III, 89 (60%) of the respondents "never" extended personal favors to state officials, their families, and/or staff and 42 (28%) "rarely" did. Only 18 (12%) of the 149 respondents said they did so "occasionally," and not one respondent said it was a "regular" activity. When asked to rate the activity's effectiveness as a form of influencing the voting patterns of elected state government officials, respondents' perceptions were as shown in Table 5.4.

The respondents' modal response was "do not know." When asked about this factor in question 4 of the interview, the Michigan presidents almost unanimously perceived the activity as an ineffective one and made clear to the investigator that they do not extend personal

favours to government officials, their families, and/or staff. The interviewees also provided clarifications regarding the nature of some of the activities or tactics mentioned in the questionnaire.

Table 5.4: Frequencies and Percentages of Respondents' Perceptions of Extending Personal Favours as a Form of Influencing Voting Patterns of State Officials

Responses	<u>f</u>	%
Very effective	3	2
Effective	20	14
Ineffective	34	23
Very ineffective	21	14
Do not know	67	46

Examples of actions/activities/tactics perceived by the interviewees as extending personal favours to government officials were:

. . . to do something for them that would benefit their own position . . . contributing to their re-election campaign or trying to sway someone to come to their aid.

. . . assisting them in some fashion to accomplish what they want to accomplish. It might be a tradeoff in votes. It might be providing some access to the institution for whatever services we may provide. It might be allowing some exception to be made for a relative of theirs to be admitted . . . when they might otherwise not be admissible.

I suspect bribery would be as far as you could go on the spectrum but there are other ways . . . whether that involves campaign contributions or football tickets.

. . . providing employment for friends or relatives of an individual representative.

. . . giving a son or daughter [of a legislator] a special grant of some kind, or more consideration than if he were John Doe.

Several of the Michigan presidents felt the need to distinguish between activities which may be construed as personal favors but which are courtesies extended to public officials in this country; e.g., when a Senator is present at an official campus function, introducing him/her is a courtesy and not necessarily an endorsement of party affiliation or a gesture of appreciation for a voting record. One president described the distinction in this manner:

I'm sure I get things at Christmas time as President of the college that everybody in the college wouldn't get, not because anybody's trying to influence me, but because I'm the President. And I think we have to be able to preserve that distinction. I would do things for our congressman because he's our congressman and because I think that's an important position. I would accord him certain respect. . . . That again is different from favors to try to influence.

One interviewee said that extending personal favors "would help rather than hinder." The president continued: "I'm inclined to think that people do feel indebted to other people, and there is a system of debt and you want to help the fellow who helped you."

When asked why extending personal favors was perceived by their colleagues as less positive than effective, and how they viewed the matter, the Michigan presidents responded with the following comments:

We don't extend any personal favors to any legislators. Those folks are elected to represent the citizenry of the state and they ought to do that without any need for extending personal services to them. . . .

We want to sell the college on the basis of its merits and what we're doing and not try to curry any favor on the basis of what we've done. It's the right way to do it, on the basis of principle, because if we ever have to try to win on the basis of favors we would grant, we could not compete in that ballpark. Besides, I think it's wrong.

. . . personal favors to legislators ought to be ineffective. If you begin from an assumption that personal favors will affect legislation, it seems to me you've made some very negative judgments about how legislation is made, how decisions are made . . . maybe it's a question of integrity, morality, value.

We are very reluctant to show favoritism in the form of favors to people in government. We thank people who have done us a good service. A college which is based on the notion of academic freedom ought also to totally respect the political freedom of all of its constituents . . . and if my office were to take sides . . . thereby giving some kind of endorsement, I would violate that kind of a political right and freedom. It's not a matter of bland neutrality. It's an active support of an important factor of American life in a democracy.

We would rather honestly merit whatever benefits we may receive. . . .

I don't believe in extending personal favors that would compromise either the principles of the institution or my own principles.

Personally, it's against my better judgment and I would avoid it at all costs.

I have a strong antipathy towards personal favors for anybody with any sort of position of responsibility or authority. . . . I have witnessed too many abuses of this kind of favor-seeking and favor-bestowing. I don't think an institution should be supported because it can bestow favors. It should be supported because it can serve a community.

Trading a favor for a particular matter of support sort of smacks of a kind of political process that, probably to educators, makes us a little uncomfortable.

Interview Question 5

Question VIII-a in the questionnaire asked respondents how often they attended legislative committee meetings. The modal response was "rarely." When asked to rate the effectiveness of such an activity in influencing legislators' voting patterns, the respondents' modal response was "effective."

In the interviews the Michigan presidents were asked if any members of their staffs regularly attended legislative committee meetings in Lansing (the state capital). The response was unanimous: "No." A couple of presidents mentioned that occasionally they attended committee meetings or hearings, upon the invitation or recommendation of AICUM's president or out of their own interest in a particular issue. The primary reasons given by the presidents for not attending legislative committee meetings are reflected in the following interviewee comments:

That's what we have John Gaffney [AICUM President] for. We're babes in the woods in the political arena. I wouldn't venture into that jungle because I don't know how to deal with that. John does. He's an expert.

We are so busy and we are so well represented by John Gaffney.

We haven't seen that the investment in this sort of activity would pay for itself in increased rational benefits to the college.

We've never felt that much of a need to be there.

We depend very heavily on the head of our state association, who prevents what could be a damaging, mixed view, mixed response . . . we depend on him to coordinate efforts.

Philosophical reason. Our approach is very much pro free enterprise. . . .

It's not a high priority. Our staff is so small. We depend on the folks in Lansing, in AICUM, to look after our interests there.

Interview Question 6

Question 6 was formulated to determine if, and under what circumstances, state officials were invited to the college to address

campus groups, e.g., students, faculty, alumni. Questions VIII-b(1) and VIII-b(2) in the questionnaire addressed this matter. The modal response to VIII-b(1), "alumni," was "rarely," with a frequency count of 57, followed by "occasionally," with a frequency count of 51. Responses to how often invitations to address student groups/classes (VIII-b[2]) were extended to elected officials revealed that 90 of the 149 respondents (61%) "occasionally" invited them.

When asked if they would ever invite elected state government officials to address campus groups, all of the interviewees responded "Yes," and many said, "We have on several occasions." However, each interviewee made clear the conditions or circumstances under which such an invitation would be extended. At least half of the presidents said that faculty and/or student groups had initiated such invitations. Two of the 17 presidents said they preferred that such invitations not be initiated by the president but directed their staff to inform them when such invitations were extended.

The circumstances under which such invitations were extended clearly centered around the academic life of the institution and were specifically aimed at enhancing the total education or learning experiences of the students as students and as citizens. The views of many interviewees are summarized by one president's remarks: "We don't invite them consciously with a view to influencing their voting or what they can do for us in terms of state help."

A variety of answers were given to the question of why state officials were invited. The following quotations from the interviewees present a summary of the primary reasons:

If we invited them it would be because there's a key issue of particular interest to the campus, particularly to students . . . issues important to us educationally.

. . . because what they might say to our college community would be helpful and supportive of the work we're trying to do.

We use them as a primary resource in the classroom or in some extra-academic curriculum program. They're very helpful. If they don't have expertise, we don't invite them.

We would invite them for exposure to our students, for exposure of their views. I think it's part of the educational process that students have an opportunity to meet with legislators, to hear their views.

We invite them as a very important hands-on type of involvement for our students because we have a public administration program and it's a great advantage to have somebody who is in the field, working in the field. . . .

We would invite a candidate who might be running for a particular office on a particular platform that might relate specifically to a program interest or a course.

. . . it would depend upon the topic. The state legislators have various professional and vocational backgrounds and it might range from their views regarding that [their backgrounds] to their views on some issue that might surface in the state and their position on it. It could be for a variety of reasons.

We feel it's important for our students to hear what such people have to say . . . what he thinks about government, where he thinks our state is going. We would use it in an educational function and not as a platform for them to make their own speeches.

We want them to come in a nonpolitical way and to render some expertise they have . . . to be done in a manner that would not draw us into any political limelight. We want to remain apolitical.

Several interviewees mentioned inviting or accepting requests of legislators to speak during an election year. In that regard, the presidents said that if a candidate spoke on campus they preferred that his/her opponent be asked to address the same audience. One

president expressed concern about inviting candidates too often because of the need to "give equal time to somebody else."

While one president stated, "I would never invite someone for the sake of currying favors," 3 of the 17 presidents mentioned that such invitations, while primarily for educational purposes, provided the Senator or Representative with information about the college or university, with exposure to the campus, the personnel and students, the programs and plans. As one president said:

We believe one of the better ways to educate legislators is to have them come on campus and meet the people in certain programs, meet members of the faculty, meet members of the administration. We do this on a nonpartisan basis. We invite any legislator who might have some interest and knowledge and something important to say.

Thus, while the primary reason for inviting elected state government officials to campuses was related to the institution's educational mission, such invitations allowed legislators to think of those institutions (as one president said) "in a very tangible way."

One interviewee mentioned extending invitations to state legislators at the request of AICUM:

If AICUM would say it would be helpful to the cause if you would invite Senator X or Representative Y to campus to show what you're doing because we have a person here who's just not responding very well to us, obviously, in those circumstances we would accommodate that, but the people who usually visit here are brought here for other than political reasons.

Interview Question 7

Interview question 7 was intended to elicit from the presidents their perceptions of those activities, actions, tactics, or functions which enhance and detract from effective relationships with

elected state government officials. Although no single question in the questionnaire was constructed in such open-ended fashion and none specifically addressed the issue as stated, questions I, V, VIII, and XI were indirectly and directly related to the intent of interview question 7.

The presidents' responses to the question focused on three basic topics: membership in a state association, the nature and necessity of personal relationships with state officials, and qualities of communication with those officials. In almost all instances, the most effective and least effective actions were conversely related.

Of the 17 responses to question 7, 9 of the presidents (53%) said the most effective way for an independent college or university president to relate to elected state government officials was through a state association of independent colleges and universities. Their remarks on this matter were extensive, exuberant, and full of conviction. Conversely, independent college or university presidents who tried "to go it alone" with state government were making the gravest of errors both for themselves and for the good of the institution they represented. The Michigan presidents clearly recommended the united approach for the independent sector in any state, and some recommended the approach to their colleagues in the public sector. Following is a sampling of responses by the Michigan presidents to interview question 7:

Be a good, loyal, supportive, attentive, functioning member of AICUM.

The most effective way . . . is through a state organization . . . whose business is to know the legislators, to know the way in which they operate, and to understand and appreciate the political process. I believe a president is always best served by not becoming actively a participant in the political process.

The least effective approach would be to ride off on his or her own, to be his or her own lobbyist. In unity, in coordination through the state association, we're infinitely more effective than we are separately.

Get in touch with AICUM and find out what to do. They're professionals.

The most important thing would be to work within and become a part of the leadership of the united effort. Now that is not to say that individual presidents shouldn't get to know their local legislators. I think that's terribly important . . . but most of the issues we face are not individual to us, but are generic to all of higher education. . . . You've got to count the vote . . . and know where you're going to get the most response for a given amount of energy and time. And that's a question that you pay the state association to find out for you.

If you have an effective state association, you get involved. That's very key. If you don't, then you change the personnel. I think that's the best way . . . a group of college presidents who speak with a unified voice rather than speaking individually and I think that has a great impact. If the association has respect, then it can have clout.

The least effective thing would be to try to promote some kind of a program, curriculum on his or her own campus that would be disruptive to the cause of our collective lobbying effort.

I'm not saying a person can't be effective independently. I don't think it's a wise thing to do if we're talking about state politics in support of independent higher education.

The least effective is to attempt to deal unilaterally with a legislator or with the Legislature in behalf of one's own institution. That becomes, in my judgment, a very narrow vested interest, vis-à-vis the united approach that we have in AICUM where John is able to speak for all of us and he does so at a policy level, which, as I talk with legislators, they are impressed by this. I have had more than one legislator tell me that if only the people in the public sector in higher education would make a united approach, that they would be much

better received. This fracturing of the cause of higher education in the public sector is a scandal. The most effective approach is the united fashion because it's higher education that's really at stake.

Three of the Michigan presidents strongly recommended the development of personal contacts with legislators, especially district legislators.

The remarks of the remaining five presidents centered around the qualities of communication between independent presidents and state officials:

The relations to a state government should be developed on the basis of the merits of the college, a straightforward representation of its programs and its successes, faithful representation of one's self. There should be no such thing as putting on airs.

I think a wholesome image of your college--that would be the greatest asset--to be honest about your institution.

Keep open lines of communication with legislators. . . .

The least effective is complaint for the sake of complaint without offering suggestions.

Express genuine interest and concern. Keep them informed as to what our colleges are doing and the role they're playing in higher education.

Three of the presidents mentioned granting of favors or catering unduly to legislators as the least effective approach.

Interview Question 8

The purpose of interview question 8 was to determine the interviewees' perceptions of the effects, if any, of an individual president's characteristics on the relationship to state government officials. Several items in question V of the questionnaire focused on this matter: V-i, "the president's academic preparation and

background"; V-j, "the president's personality"; V-k, "the president's years in office"; V-m, "the president's previous experience as president of another college/university"; and V-n, "the president's previous nonacademic work experience." The Michigan presidents' responses to this question were lengthy and varied, and in most instances, situational or conditional. The characteristics of an individual president which surfaced most often in the responses were: personality, academic background, and previous academic experiences.

Of the 17 interviewees, 10 mentioned personality: 7 perceived personality to be "important," 1 "moderately important," and 2 said the personality of an independent college president may or may not be important, depending upon "the caliber of the state association staff."

Those who perceived personality to be important to the relationship with state government officials said the following:

I think there would be circumstances in which a president's personality, such as being haughty, would be rather ineffective in working with state officials. The personality of the president can be very dangerous from the standpoint of an institution.

. . . because as an individual, certainly the president must be perceived as an honest, forthright person, a person with integrity.

Someone who is sour, cynical, who is forever "a-ginner"--a kind of loud mouth who shoots from the hip--legislators, as I know them, do not respect them at all.

Politicians are human beings and respond to the same things other people do.

Personality is always important. You sell yourself along with whatever you represent.

For two of the presidents, the personalities of the individual college presidents were not as important as the personalities of the state association staff or, to put it another way, were unimportant, given the existence of an effective state association.

The characteristics, qualities, and personalities of the staff are very important and can mask and overcome, and overrule any deficiencies in personality on the part of an individual president. . . . Personality is important if you have to go it alone.

In the absence of a state association, one president said:

One would place a little more significance on certain personality characteristics, at least an ability to appreciate the political process and to relate to it with a certain degree of tolerance and patience.

Of the interviewees who mentioned a president's academic background or education, all of them said it was either of "no interest to legislators," "not important," or "it depends on the importance that the legislator places on academics." The majority of the interviewees perceived their academic backgrounds to be of little importance to state officials. However, they emphasized that state legislators expected colleges and universities to be run by academicians. The following interviewee comments reflect their perceptions:

I don't think overall knowledge of academics is going to help or deter relationships. . . .

Education is irrelevant.

A college president who relies on his academic credentials to establish a relationship with a legislator will not be very successful.

I think they probably expect educational institutions to be led by educators. . . .

I don't think too many legislators are impressed. I don't think they bother to look up his [a president's] background any more than anybody else does. What they want to know is-- is he what you and I call an intellectual? Can he think?

Most state legislators couldn't care less.

I would feel that the personality of the person, the academic background, what his or her personal preferences are, probably does not have a great bearing on interaction with legislators.

I think it's a mistake to try to overwhelm a legislator with your academic credentials. They're not going to be that impressed.

Four of the 17 interviewees mentioned previous work experiences of a president as having a potentially positive effect on his or her relationships with elected state government officials. One interviewee said that serving as president of another institution in the state would be "a positive factor." Two presidents mentioned previous administrative experiences at public institutions within the state as being important to their present role and the relationship to state government officials. "It's an advantage. I have a hearing I wouldn't have had otherwise." The second president with public sector experience said: "It's been very helpful because I know the legislative process, the people who are there. Knowing individuals certainly helps."

Another president expressed the view that having work experiences other than academic "which can make you more at home in that [the state Legislature] world will be more effective because being at ease with the legislator is the most important thing."

As noted earlier, the interviewees' responses to this question were extensive and filled with amplifications. Their answers to the

specificity of interview question 8 revealed words of advice to educators, admonitions, pleas, and reflections seemingly based on personal experience and on knowledge gained through the state association. While not totally disregarding such factors as one's educational background, previous work experience, or personality, the Michigan presidents, nevertheless, emphasized other factors as equally important, if not more important. A selection of their reflections follows:

It seems to me it's important that college presidents realize who they are, what they are, what they're representing and realize that the legislators that they're dealing with are also human beings who have certain jobs, who are doing a job, and who are representing a group and that we should not view that relationship in some sort of adversarial way but rather as a cooperative kind of relationship.

Those of us in this kind of position have to be aware of what's going on within the state . . . show a little understanding for some of the problems of the people who are trying to balance the budget and juggle the funds. . . .

As long as the president reflects the institution's mission and how it's serving the state or a given region, or a given geographic locale--that's what's important.

In dealing with state officials, your first and foremost responsibility is to respond to their interests, needs, and personalities and not your own.

Be professional, be dignified but you have to be conscious of the fact that there's a certain amount of salesperson work . . . there are ways in which you just have to be conscious of the territory.

Be political. Be on top of the issues. Know the legislative process.

A couple of presidents noted that some presidents are not prepared or inclined to handle political matters well. As one said, "Not every single president needs to get involved and probably some

presidents shouldn't get involved." The president continued,

If they have a negative attitude, it's better that they're not the people to represent the independent sector to the Legislature, e.g., people who can't compromise. Government is a compromise; there's a give and a take.

At least half of the 17 presidents rated certain characteristics or qualities as important because of legislators' beliefs, reactions, or judgments. One president remarked that, in the view of a legislator, it was important for the president to "be involved in the issues that would relate to a state official's constituencies." Another president spoke of a president as an educational statesman and not a political statesman:

I think for the most part legislators respond to private and independent higher education as educational institutions not as political entities and they would be most impressed by a leadership that essentially is educational and academic. . . . So I think the effectiveness of a president's relationship with a legislator is not on a series of personal characteristics but rather on a series of characteristics which relate to what is his primary expertise, his primary motivation for being what he is. He is first an educator. . . .

Another president's views of what is important to legislators related to the presidents' knowledge of and interest in the issues under consideration in the Legislature, an understanding of the economy of the state, and an awareness of the many other needs being expressed to legislators by citizens of the state. This president concluded, "Private higher education is not the only priority in the state or the nation. Be informed."

One experienced Michigan president spoke of the legislators' perceptions of academic types, of the "mystique" they have for someone in academia and at the same time of the "suspicion that the

academic mind is impractical and does not know how to deal with reality." The president presented the situation as somewhat of a dilemma for the president--"if he's to be persuasive with the legislators, he has to carry water on both shoulders. . . ." On the one hand, a college president who appears not to be a solid academician "probably doesn't have too much respect of the legislators. Most good legislators respect ability in whatever field. . . ." On the other hand, a college president who gave no evidence of an "awareness of the political reality and how things happen" also "doesn't get the respect of the legislators." The president's concluding comments to this question were:

For the most part, as I know them, the one thing they respect above all else is reasonableness. If a president can be reasonable, I think this is the best way for him to be persuasive.

Interview Question 9

Questionnaire responses clearly showed the personal letter as the form of communication preferred by the respondents when they wished to communicate directly with state officials. The intent of interview question 9 was to determine under what circumstances the presidents would not write a personal letter and, instead, use another form of communication.

While most of the presidents used a personal letter as their preferred and usual form of communication, they felt that "nothing is as effective as personal contact." However, time and lack of accessibility to state officials dictated their choice of a form of communication.

With regard to communicating with the Governor, one president said, "I write. I do not know the Governor that well." A visit to the Governor in his office would be appropriate, said another president, "only on matters where I was representing a constituency, rather than my own institution."

Only one president mentioned an invitation to lunch or dinner as a forum for communication but added, "I wouldn't do that individually; we do that through AICUM."

As noted in Chapter IV, the Michigan presidents, as other independent college and university presidents, focused on the legislators from their districts. Accordingly, several interviewees reported using telephone calls to those legislators. As one president said, "familiarity is the key factor," and another stated, "I would only call district legislators at this moment in time [because] I would not make a personal call to someone I don't know fairly well."

The circumstances under which the presidents would call a legislator focused on matters of urgency or matters which involved a give and take or highly personal or highly confidential matters. Such circumstances were as follows:

. . . if the issue was of momentous importance . . . but I'd rely so much on John Gaffney's advice as to what's needed.

. . . if there was a time problem and you really wanted to get an answer or to state a position in a hurry or you wanted to be able to talk something through. . . .

. . . if the vote was this afternoon. Then I'd make a call at 11 o'clock this morning. There are some issues that just come to the floor that nobody knows about until it's the zero hour.

It would have to be a matter of considerable importance. . . . I tell them what's on my mind and tell them I'm writing them a letter.

It would have to be some huge, horrendous emergency that I can't imagine at this time.

Several of the presidents noted that when they call a legislator(s) they always follow the call with a letter. And one president mentioned calling legislators to thank them for their support on an issue but added, "I don't do that often."

Aside from the practical considerations of time and availability on the part of both parties, communicating by letter, said one president, "establishes that it's a courtesy, it's a matter of record, it suggests some forward planning, instead of just an emergency, reactive kind of stance." In sum, as many presidents stated, "It also depends on the issue."

Interview Question 10

Question IX in the questionnaire was directed at discovering which publications provided the respondents with helpful information for their relationships with state government officials. As noted in Chapter IV, The Chronicle of Higher Education (IX-c) and publications/bulletins from the state association (IX-d) received the highest frequency counts and were chosen by at least 85% of the respondents. Interview question 10 was aimed at finding out why the presidents read these publications and if, indeed, they had a basis for choosing their reading materials.

The Michigan presidents cited two primary sources of helpful information at the state level: publications or bulletins from AICUM

and The Chronicle of Higher Education. One president also mentioned publications from the American Council on Education, two mentioned local newspapers, and two noted publications from the National Association of Independent Colleges and Universities (NAICU).

The reasons given by the presidents for the selections they made were: Time constraints force them to be very selective in their reading; therefore, they look for timely, relevant, useful, concise, and comprehensive information.

Although The Chronicle covers a very broad spectrum of national higher education news and is particularly helpful for federal governmental affairs, several presidents felt it also provided them with "objective reporting" of state public policy issues and "a fairly interpretive journalistic style that seems to survey the issues and lay them out . . . in a relatively easy fashion."

As one president said, the "most crucial information" for guiding relations with state government officials is that which comes from the AICUM office. AICUM publications are "timely, first hand, and often done on a daily basis."

Remarks of other presidents follow:

I need to rely on experts to get before me what is important for me to know. . . .

AICUM reports are timely reports.

I rely most heavily on information coming out of AICUM.

I rely on whatever John Gaffney sends me regarding what's going on in the legislative hopper--he knows better than anyone else--and he puts it in a brief enough form.

One president mentioned the fact that NAICU publications "ought to be more useful" for independent college-state government relations. Two of the 17 presidents mentioned publications/newsletters received periodically from their district legislators, which cite key bills that are pending or bills which have been enacted in the state Legislature.

Summary

As a result of the investigator's interviews with 17 Michigan independent college and university presidents, information was gathered which clarified and augmented the data obtained from the returned questionnaires. A summary of the major findings from the interviews follows:

1. The Michigan presidents ranked the legislator(s) from their institution's district as the key state official on whom they focused their time and attention because of ease of access and availability of the official, and because of the legislator's interest in the institution. Following the district legislator, they gave attention to the leadership and membership of the Education and Appropriations Committees of the Legislature. Relations with the Governor were almost nonexistent and were viewed as a responsibility of the state association of independent colleges and universities (AICUM). The factors which influenced the president's ranking of the state officials were the directives and recommendations of AICUM's president, the political decision-making process at the state level of government, and political realities in the state of Michigan.

2. Support groups were used infrequently by the interviewees in their institutional-state government relations. More than half of the presidents said they would rely completely on directives from AICUM's president regarding the involvement of trustees, administrators, faculty, students, or alumni. The use of anyone other than the AICUM president or the presidents of the state's independent sector would depend upon the nature of the issue at hand or the proposed piece of educational legislation; the potential effects of that legislation; the expertise needed for enhancing, improving, or influencing government relations; or institutional policy.

3. In question V of the questionnaire, respondents were asked to rate the importance of a select group of factors on the relationships of individual independent colleges and universities to state governments. Because responses to some factors were often split between "important" and "unimportant," the Michigan presidents were asked to provide reasons for their rating of those factors.

- a. Regarding an institution's reliance on federal monies, almost all of the 17 Michigan presidents said the factor had no bearing on an institution's relationship to state government.
- b. Regarding the characteristics of an individual president of an independent college or university, the interviewees maintained that academic degree or preparation was of little or no importance to legislative relations, that previous administrative experience in the public sector could prove beneficial to legislative interactions, and that personality was

an important factor and could be a critical factor in the absence of a strong, effective state association. The presidents noted that institutional-state government relations can be enhanced if independent college and university presidents: know and understand the political processes of state government; are aware of the multitude of issues confronting state legislators; and represent their institution's mission, programs, and needs in a professional, honest, and clear manner.

4. The effectiveness and ineffectiveness of several methods for relating to state government officials and of tactics for influencing the voting patterns of legislators were addressed by the interviewees.

- a. While attendance at legislative committee meetings was perceived by questionnaire respondents as an effective tactic, the Michigan presidents concurred with other study respondents in their reported infrequent use of the tactic. The primary reason given for their nonattendance was the presence and effectiveness of AICUM's President, John Gaffney, in Lansing.
- b. Extending personal favors to legislators, their staff, or families was viewed as an ineffective tactic for a variety of reasons, among which were institutional policy, personal philosophical and ethical considerations and principles, respect for legislators as persons, respect for their office, and respect for their obligation to represent their constituents by virtue of their election and not by the favors they received.

- c. Invitations to address student groups or classes are extended by the Michigan presidents or members of their faculties or student bodies primarily because of the expertise of a legislator regarding a specific topic or issue and not as a method of influencing a legislator.
- d. The Michigan presidents perceived that membership in a state association of independent colleges and universities was the most effective way for independent presidents to relate to elected state government officials. To "go it alone" was perceived as the gravest error for the presidents and for the institutions they represented. The unified approach was recommended with conviction and exuberance for all independent colleges and universities, and as a possible solution to the problems encountered by the public sector in its institutional-state government relations.
- e. The interviewees also encouraged and advised independent college and university presidents to maintain honest and cordial communications with elected officials, especially district legislators; to keep them apprised of the institution's academic program; to be aware of the demands made upon legislators by numerous other constituents and interest groups in the state; and to put their efforts into leading an academic enterprise as opposed to developing themselves into professional lobbyists, politicians, or political science experts.

CHAPTER VI

SUMMARY OF THE STUDY AND MAJOR FINDINGS, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

Summary of the Study

Development of the Research Project

A review of the literature and research of the politics of higher education revealed a dearth of information regarding the relationship of the independent sector of higher education to state governments. On the other hand, numerous pieces of literature pertained to the precarious present status and uncertain future of the independent sector, its need for and dependence upon state financial aid to students, and the strengthening of the role of state government in the future of higher education. The investigator's experiential background and keen interest in the politics of higher education coupled with the obvious paucity of relevant literature and research led to the development and definition of this research study.

Purposes of the Study

The purposes of the study as defined in Chapter I were as follows:

1. To describe the relationship of selected independent colleges and universities to state governments in Region I of the National Association of Independent Colleges and Universities (NAICU):

the key participants; the factors which impinged upon the relationship, the forms of communication, and the methods and tactics used by the colleges and universities to relate to elected state government officials, specifically, the Governor and state legislators.

2. To identify the effectiveness of a select group of methods and tactics in influencing the voting patterns of elected state government officials.

To further conceptualize the purposes and to provide a basic framework for the study, eight research questions and 10 null hypotheses were developed by the investigator.

Design of the Study

To gather quantitative data and qualitative information by which to describe the relationship of selected independent colleges and universities to state governments, the investigator chose to use two research tools: the survey questionnaire and the structured interview.

The specific nature of the study population was chosen for two reasons:

1. Economic factors led to the decision of geographic proximity as a prime consideration for the interviews. Since Michigan is part of Region I of the National Association of Independent Colleges and Universities (NAICU), the decision was made to include the other 10 states in Region I as opposed to establishing another geographic criterion.

2. Given the small number of independent colleges and universities in Region I which met the criteria of the study (212), the investigator deemed it feasible, practical, and economical to survey the all-inclusive group defined as the study population.

Study Population

The study population consisted of all independent nonprofit or church-affiliated, nonproprietary, accredited colleges and universities in Region I of NAICU, with enrollments of at least 200 students, and which grant, at a minimum, the baccalaureate degree in the liberal arts, or the liberal arts and professional programs, or the liberal arts and teacher education programs. Region I consists of the following 11 states: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin. The names of qualifying institutions were obtained from The Education Directory, Colleges & Universities, 1978-79 edition, published by the National Center for Education Statistics.

The Survey Instruments

The questionnaire. The survey questionnaire (Appendix A) was developed by the investigator from information gathered from a review of literature and research and from her experience as an intern with the Association of Independent Colleges and Universities of Michigan (AICUM), located in Lansing, Michigan.

The questionnaire was pilot tested for clarity of instructions, content, wording, length, and item construction by five former presidents of Michigan independent colleges and universities. The

institutions they formerly represented met all of the criteria for the study population. Following the pilot test, minor changes in design and content were made, and the survey questionnaire was mailed to the presidents of the independent institutions in the study population. Of the 212 institutions, 149 (70%) returned questionnaires which were used in the analysis of data.

Following the traditional notions of validity suggested by Ebel (1972), the investigator claimed both content and concurrent validity for the study. The reliability of survey instruments is an exceedingly difficult characteristic to establish because the notion of a "right answer" is conceptually different from the concept as when applied to objective achievement tests. It is noted, however, that there was a consistency of responses among respondents in the state of Michigan both to the questionnaire and to the interview questions, suggesting a notion of test-retest reliability. Even though an exact measure of reliability such as a test-retest reliability coefficient was not computed, the claim was nonetheless made, that the survey instrument had the quality of reliability.

The structured interview. The interview represented a secondary research tool to complement and supplement the quantitative data gathered from the questionnaires. The interview questions were pilot tested with two of the five presidents who had pilot tested the questionnaire.

The final interview guide with questions (Appendix C) was developed from an analysis of 104 questionnaires returned by May 10, 1980. Of the 22 eligible Michigan institutions, presidents of 17

(77%) Michigan independent colleges and universities agreed to be interviewed by the investigator and all permitted the interviews to be tape recorded.

Data Processing and Analyses

The data which were analyzed consisted of the responses from the 149 returned questionnaires and from the 17 personal interviews conducted by the investigator. Following the completion of the interviews, the investigator listened to, transcribed, and analyzed interviewees' responses.

Analyses of questionnaire data were aided by use of the Michigan State University CDC 750 computer and the Statistical Package for the Social Sciences (SPSS) (Nie et al., 1975). Frequencies and percentages for each response to every item of the 11 questions were obtained by use of the SPSS subprogram, FREQUENCIES. Frequency counts for each questionnaire item can be found in Appendix J.

Testing of the 10 null hypotheses was accomplished by use of the SPSS subprogram, CROSSTABS. The overall significance level for questionnaire data analyses was set at the .10 level. However, because individual items within questions I, V, VI, VII, VIII, and XI in the questionnaire were not clearly independent of one another, there was the possibility of compounding the overall alpha level. To control for this, the Bonferroni Inequality Technique was used (Kirk, 1968), and alpha levels were established for each of the 10 null hypotheses. This technique allowed the error rate associated with the overall alpha level to be a function of the number of comparisons which were

made and insured that the overall alpha level would be no greater than the .10 level.

Summary of the Major Findings of the Analyses of Questionnaire Data and Interview Information

Given the volume and depth of data and information gathered and analyzed from the 149 questionnaires and 17 interviews, the investigator reminds the reader that major findings were presented in detail in Chapters IV and V. The findings presented in this chapter are the result of combining the analyses of the findings from the 11 questions in the questionnaire and those from the 10 interview questions. In the interest of order, logic, and ease of understanding, summary profiles of questionnaire respondents and interviewees are presented, followed by the major findings as they related to the study's eight research questions.

Profile of Respondents and Interviewees Using Selected Factors

Personal Profile:

Education. Of the 149 respondents, 78% had earned a doctoral degree, 5% a professional degree, and 8% a doctoral and a professional degree. Of the 17 Michigan presidents who were interviewed, 71% had earned a doctoral degree, 6% a professional degree, and 12% a professional and a doctoral degree.

Tenure. The mean tenure for the responding population (149) was approximately seven years, and five years, five months for the 17 Michigan presidents within that population who were interviewed.

Previous experience as a president. Of the 149 respondents, 24 (16%) had previous experience as a college or university president. Of the 24, 20 had been president at one other institution, 2 at two other institutions, and 2 at three other institutions. Of the 17 Michigan presidents interviewed, 2 had had previous experience as a college or university president (12%). Of the 30 institutions represented in the respondents' previous presidencies, all but one were independent colleges or universities.

Institutional Profile:

Enrollment. The modal enrollment category for the respondent population and the interview population was 1,000-2,499 students. Respondents to the questionnaire represented institutions which fell into each of the six enrollment categories, whereas the interviewees' institutions represented three of the six categories.

Association membership. Of the 144 questionnaire respondents who answered the items on membership in a state association of independent colleges and universities, 142 (99%) stated that their institutions presently were members. Of the 142, 17 represented the Michigan institutions in the interviewee population, all of whom were members of the Association of Independent Colleges and Universities of Michigan (AICUM).

Mileage. Respondents were asked to note the distance in miles of their institution from the capital city of their state. The mean, median, and mode was the mileage category, "51-100 miles." All but one of the Michigan institutions were between 1 and 100 miles from Lansing, the state capital.

Location. The 149 respondents to the questionnaire represented the 11 states in Region I of NAICU. Illinois represented the largest frequency of respondents, while North Dakota represented the smallest. The largest percentage of response for an individual state was from Michigan, followed by South Dakota, Minnesota, and Kansas.

Summary of Major Findings

Research question 1: What factors affect the relationship of the independent sector of higher education in Region I of NAICU to state government?

In question I of the survey questionnaire, respondents were asked to indicate the degree of importance of a select group of 17 factors which may or may not affect the relationship of the independent sector of higher education to state governments.

Responses to question I revealed minimal variance of opinion among the respondents. More than 70% of the responses to each factor was found in the response categories "essential" and "important." Accordingly, all of the 17 factors presented in question I were perceived by the respondents to have some bearing on the relationship of the independent sector to state governments in Region I of NAICU.

The factors perceived as most essential were:

- I-b. the governor's position on state aid to independent higher education
- I-d. merits of the issue contained in a particular bill which relates to independent higher education
- I-f. the effectiveness of the state association of independent colleges and universities. All responses (100%) to this factor were either in the response category "essential" (72%) or the category "important" (28%).

The following factors were perceived as important:

- I-e. number of independent colleges and universities in the state
- I-g. legislators' personal philosophy about state aid to independent institutions and their students
- I-h. personalities of the presidents of the independent colleges/universities
- I-i. percent of state students enrolled in independent colleges/universities
- I-j. the independent sector's provision of service to citizens of the state
- I-k. communication techniques used by the independent colleges/universities in their relationships with the governor and state legislators
- I-l. extent to which a vote for independent higher education will help or hurt a legislator in the next election
- I-n. fiscal implications of each bill which pertains to independent higher education.
- I-o. stature of the state's independent colleges and universities
- I-q. mutual trust between state educators and elected state government officials

Factor I-a, "understanding of the state's political processes by presidents of the independent colleges/universities," was perceived by half the respondents as "essential" and as "important" by the other half.

Research question 2: What factors affect the relationship of an individual independent college or university in Region I of NAICU to state government?

In Question V in the questionnaire, respondents were asked to rate the importance of a select group of factors in terms of their effect on the relationship of an individual independent college or

university to state government. A variance of opinion among respondents was observed for each factor except for V-q, "membership in a state association of independent colleges and universities." Of the 149 respondents, all answered V-q and 88 (59%) specified the factor as "very important" and 58 (39%) as "important."

Other important factors were:

- V-a. independent status of the institution
- V-c. the institution's reliance on state aid to students
- V-f. people who influence the institution's position in public policy matters
- V-h. personal relationships with the governor or state legislators
- V-j. the president's personality
- V-l. people who advise the president on public policy matters
- V-o. forms of communication used by the president in relating to state government officials
- V-p. meetings/seminars/conferences attended by the president which address political/public policy matters

When the response categories "unimportant" and "very unimportant" were combined, the following factors were perceived as unimportant:

- V-b. the institution's proximity to the state Capital
- V-i. the president's academic preparation and background
- V-m. the president's previous experience as president of another college/university
- V-n. the president's previous nonacademic work experience

Several items of question V revealed a variance of opinion among respondents, with almost an equal number of respondents perceiving a

factor as "important" as "unimportant," e.g., factor V-e(2), "church related or non-church related"; V-d, "the institution's reliance on federal monies"; and V-i, "the president's academic preparation and background." Regarding an institution's reliance on federal monies, almost all of the 17 Michigan interviewees said the factor had no bearing on an institution's relationship to state government.

Regarding the characteristics of an individual president of an independent college or university, the interviewees maintained that academic degree or preparation was of little or no importance to legislative relations, that previous administrative experience in the public sector could prove beneficial to legislative interactions, and that personality was an important factor and could be a critical factor in the absence of a strong, effective state association. The presidents noted that institutional-state government relations can be enhanced if independent college and university presidents know and understand the political processes of state government; are aware of the multitude of issues confronting state legislators; and represent their institution's mission, programs, and needs in a professional, honest, and clear manner.

Research question 3: What methods are used by the colleges and universities to relate to elected state government officials?

In question VIII of the questionnaire, respondents were asked how often they used a select group of methods or tactics as part of their effort to relate to elected state government officials.

The one method used most "regularly" by the respondents was VIII-c, "providing information about one's institution to elected state government officials."

The modal response for the total group of methods was "occasionally." The following activities received the highest frequency counts in that response category:

- VIII-b. invite elected state government officials: to speak to student groups/classes; to give a Commencement address
- VIII-c. provide information about your institution to elected state government officials
- VIII-d. make suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education
- VIII-e. inform elected state government officials of the effects on your institution of: existing state laws; the Governor's proposed education budget; existing state regulations
- VIII-i. ask elected state government officials to be present at significant campus events or celebrations

Respondents reported that they rarely or never used the following methods:

- VIII-a. attend legislative committee meetings
- VIII-b. invite elected state government officials to: address alumni groups; address professional groups of educators
- VIII-g. extend personal favors to elected state government officials, to their families, and/or staff
- VIII-h. ask elected state government officials to be present at Commencements
- VIII-j. award an honorary degree to elected state government officials

The method receiving the highest frequency count in the response category "never" was VIII-g, "extending personal favors. . . ."

The second highest frequency count for that category was VIII-j, "awarding an honorary degree. . . ."

Responses to question VIII-f ("sponsoring a social gathering for elected state government officials") revealed that the respondents were split down the middle of the response categories. An almost equal percentage of respondents engaged in the activity "regularly" and "occasionally" as those who "rarely" and "never" sponsored a social gathering for elected state government officials.

Research question 4: What is the effectiveness of a select group of methods and tactics in influencing the voting patterns of elected state government officials?

The purpose of question XI in the questionnaire was to determine the respondents' perceptions of the same group of methods or tactics (listed in question VIII) in influencing the voting patterns of elected state government officials.

Of all the questions in the questionnaire, question XI elicited the highest number of responses in the "do not know" response category. Modal responses by frequency and percentage for the following three methods were "do not know":

- XI-g. extending personal favors to elected state government officials
- XI-h. asking elected state government officials to be present at Commencements
- XI-j. awarding an honorary degree to elected state government officials

The most effective tactics were as follows:

- XI-c. providing information about your institution to elected state government officials

- XI-d. making suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education
- XI-e. informing elected state government officials of the effects on your institution of:
 - (1) existing state laws
 - (2) existing state regulations
 - (3) the Governor's proposed education budget

The following additional methods/tactics were perceived as effective by 50% or more of the respondents when the categories "very effective" and "effective" were combined:

- XI-a. attending legislative committee meetings
- XI-f. sponsoring a social gathering for elected state government officials
- XI-i. asking elected state government officials to be present at significant campus events or celebrations

It is further noted that when the above-named response categories were combined, the following additional methods were perceived as more effective than ineffective:

- XI-b. inviting elected state government officials to:
 - (2) speak to student groups/classes
 - (3) give a Commencement address
 - (4) address professional groups of educators

When the response categories "ineffective" and "very ineffective" were combined, the methods/tactics most often perceived as ineffective were:

- XI-b. inviting elected state government officials to:
 - (1) address alumni groups
- XI-g. extending personal favors to elected state government officials
- XI-h. asking elected state government officials to be present at Commencements

The respondents' perceptions of degrees of effectiveness for two methods/tactics revealed differences of opinion which split the group almost down the middle of the response categories. An almost equal number of respondents perceived "inviting . . . officials to address alumni groups" to be effective as ineffective. More than 25% of the respondents "did not know" the effectiveness or ineffectiveness of that activity. An equal percentage of respondents perceived "awarding an honorary degree. . . ." to be effective as ineffective, while 40% of the respondents "did not know" how to rate the effectiveness or ineffectiveness of that tactic.

The Michigan interviewees' perceptions of the effectiveness of the tactics cited in the questionnaire were numerous and often couched between words of advice to colleagues in the independent sector. The investigator encourages the reader to review Chapter V to capture the fullness and richness of the interviewees' comments.

The interviewees encouraged and advised independent college and university presidents to maintain honest and cordial communications with elected officials, especially district legislators; to keep them apprised of the institution's academic program; to be aware of the demands made upon legislators by numerous other constituents and interest groups in the state; and to put their efforts into leading an academic enterprise as opposed to developing themselves into professional lobbyists, politicians, or political science experts.

The Michigan presidents perceived that membership in a state association of independent colleges and universities was the most effective way for independent presidents to relate to elected state

government officials. To "go it alone" was perceived as the gravest error for the presidents and for the institutions they represented. The unified approach was recommended with conviction and exuberance for all independent colleges and universities, and as a possible solution to the problems encountered by the public sector in its institutional-state government relations.

Invitations to address student groups or classes are extended by the Michigan presidents or members of their faculties or student bodies primarily because of the expertise of a legislator regarding a specific topic or issue and not as a method of influencing a legislator.

Extending personal favors to legislators, their staff, or their families was viewed as an ineffective tactic for a variety of reasons, among which were institutional policy, personal, philosophical and ethical considerations and principles, respect for legislators as persons, respect for their office, and respect for their obligation to represent their constituents by virtue of their election and not by the favors they received.

Several of the Michigan presidents felt the need to distinguish between activities which may be construed as personal favors but which are courtesies extended to public officials in this country; e.g., when a Senator is present at an official campus function, introducing him/her is a courtesy and not necessarily an endorsement of party affiliation or a gesture of appreciation for a voting record. One president described the distinction in this manner:

I'm sure I get things at Christmas time as President of the college that everybody in the college wouldn't get, not because anybody's trying to influence me, but because I'm the President. And I think we have to be able to preserve that distinction. I would do things for our congressman because he's our congressman and because I think that's an important position. I would accord him certain respect. . . . That again is different from favors to try to influence.

While attendance at legislative committee meetings was perceived by questionnaire respondents as an effective tactic, the Michigan presidents concurred with other study respondents in their reported infrequent use of the tactic. The primary reason given for their nonattendance was the presence and effectiveness of AICUM's President, John Gaffney, in Lansing. A couple of presidents mentioned that occasionally they attended committee meetings or hearings, upon the invitation or recommendation of AICUM's president or out of their own interest in a particular issue.

Research question 5: Who are the key or significant participants in the relationship?

Questions II, III, IV, and VII in the questionnaire were aimed at eliciting from the respondents those individuals and groups which played key or significant roles in their relations with state government.

The purpose of question II was to determine those elected state government officials on whom the independent colleges and universities focused their attention during any given year. Since 20% of the respondents checked their responses as opposed to ranking them, and to take advantage of all responses, a simple frequency count was made to identify the modal responses.

The three officials receiving the highest frequency counts with no necessary order implied were:

- II-b. state legislators from your institution's district
- II-d. state legislators who are members of a legislative committee which discusses education and/or higher education
- II-g. state legislators who are members of a legislative committee which discusses appropriations to higher education

It is noted that modal responses coincided with the ranking by those respondents who followed the directions for question II as they were stated.

In question II the respondents were asked to rank the state officials if they actively related to state government officials. The option was given to respondents to choose the statement: "We do not actively relate to elected state government officials." Of the 147 respondents to question II, 16 (11%) indicated that they "do not actively relate to elected state government officials." The 16 respondents represented 7 of the 11 states in the study population, with Missouri having the highest state representation.

Since early questionnaire responses revealed that some respondents had not ranked their responses and since four of the original eight questionnaire choices were emerging more frequently than the others, question 1 of the interview was aimed at refining the ranking of state officials on whom independent college and university presidents focus. Of the four state officials listed:

The Governor
State legislator from your institution's district
State legislators who are members of an Appropriations Committee

State legislators who are members of an Education Committee,

the interviewees' overall ranking was as follows:

- I. District legislator
- II. Education Committee legislators
- III. Appropriations Committee legislators
- IV. The Governor

The Michigan presidents ranked the legislator(s) from their institution's district as the key state official on whom they focused their time and attention because of ease of access and availability of the official, and because of the legislator's interest in the institution. Following the district legislator, they gave attention to the leadership and membership of the Education and Appropriations Committees of the Legislature. Relations with the Governor were almost nonexistent and were viewed as a responsibility of the state association of independent colleges and universities (AICUM). The factors which influenced the president's ranking of the state officials were the directives and recommendations of AICUM's president, the political decision-making process at the state level of government, and political realities in the state of Michigan.

At least 4 of the 17 presidents stated that the focus on particular elected state government officials would also be different if they were affiliated with a state or publicly supported college or university.

The state officials receiving the lowest frequency counts were:

- II-f. those legislators who, though not elected to formal leadership within the Legislature, are leaders by virtue of their personal influence within the Legislature

II-e. state legislators who consistently vote in favor of independent higher education issues

II-h. other state officials

Question III was intended to elicit from the respondents the types of approaches (direct or indirect) they used when relating to elected state government officials, and the use of support groups (faculty, students, trustees). Respondents were also asked "how often" (always, occasionally, rarely, never) they expressed their views directly to state government officials.

When an issue will have an effect on independent higher education in the state (III-a), respondents reported that they occasionally expressed their views directly to state government officials. However, when an issue will have an impact on one's institution (III-b), respondents reported that they always expressed their views to state officials.

The modal response for the use of support groups under the same conditions noted above was "occasionally" (III-c, III-d).

The two remaining items in question III dealt with the relationship of the respondents to their respective state association of independent colleges and universities. Of the 149 respondents, 140 indicated that they "always" expected the staff of the state association to know and to represent the views of the independent sector (III-e).

When a particular issue was under consideration (III-f), the respondents were divided equally in their responses in two of the four response categories. Of the 149 respondents, 65 said they "always"

expressed their views to the state association, and 65 "occasionally" expressed their views.

In question IV in the questionnaire, respondents were asked to rank the top three officials or organizations which influenced the positions and actions taken by their institutions in state public policy matters. Since 27% of the respondents checked their responses, a simple frequency count was made to identify the modal responses for all respondents.

The three responses receiving the highest frequency counts with no necessary order implied were as follows:

- IV-a. the executive administrators of the institution
- IV-e. the institution's Board of Trustees
- IV-f. the state association of independent colleges and universities

It is noted that modal responses coincided with the ranking by those respondents who followed the directions to question IV as they were stated.

The individuals/organizations which received the lowest frequency counts were:

- IV-c. the students
- IV-d. the alumni of the institution
- IV-j. others

Question VII in the questionnaire was aimed at determining how often respondents made use of select support groups in their efforts to make state officials aware of the effects of an issue on either their institution or independent higher education.

The modal response for use of administrators, faculty or staff, alumni, trustees, and civic/corporate/business leaders was "occasionally," while the modal response for use of students and religious/church leaders was "rarely."

An almost equal number and percentage of respondents "always" and "occasionally" enlisted the support of faculty or staff as those who "rarely" and "never" enlisted their support.

The group cited most often in the response category "always" was the administrators of the institution. The group cited most often in the "never" category was religious/church leaders.

The Michigan presidents who were interviewed indicated that support groups were used infrequently in their institutional-state government relations. More than half of the presidents said they would rely completely on directives from AICUM's president regarding the involvement of trustees, administrators, faculty, students, or alumni. The use of anyone other than the AICUM president or the presidents of the state's independent sector would depend upon the nature of the issue at hand or the proposed piece of educational legislation; the potential effects of that legislation; the expertise needed for enhancing, improving, or influencing government relations; or institutional policy.

Very few presidents recalled asking students or alumni to become involved in public policy issues, and one president mentioned a philosophical position of the institution against involving a faculty member or an alumnus. If AICUM or legislators asked for information regarding impending educational legislation, most presidents said

they would enlist the support of the administrators on their staff with the appropriate expertise.

Research question 6: Which forms of communication are preferred by the independent colleges and universities when relating to elected state government officials?

The purpose of question VI in the questionnaire was to designate the forms of communication preferred by the respondents when they communicated directly with state government officials regarding the impact of pending legislation on independent higher education. Respondents were directed to indicate the one form of communication they used in the majority of instances when they communicated with the Governor, the legislator(s) from their institution's district, key legislators related to an issue, and other state legislators.

The responses to question VI indicated that personal letter was the preferred form of communication for communicating with the Governor, key legislators related to an issue, and other legislators. When communicating with the legislator from the institution's district, respondents showed a greater variety of responses. The frequency of responses revealed that respondents preferred "telephone call" and "personal letter" followed by an "invitation to lunch or dinner."

While most of the Michigan presidents said that they use a personal letter as their preferred and usual form of communication, they felt that "nothing is as effective as personal contact." However, time and inaccessibility of state officials dictated their choice of a form of communication, as well as familiarity and quality of personal relationships.

Research question 7: Who provides helpful advice to independent colleges and universities regarding the nature of their relationship with state governments?

In question X of the questionnaire, respondents were asked to rank the top three individuals who provided them with the most helpful advice for their relationships with elected state government officials. Since 25% of the respondents checked their responses as opposed to ranking them, a simple frequency count was made to identify the modal responses and to take advantage of all responses. The three individuals receiving the highest frequency counts with no necessary order implied were:

- X-a. an independent college/university president from your state
- X-b. a member of the state Legislature
- X-f. the staff of the state association of independent colleges and universities

It is noted that modal responses coincided with the ranking by the respondents who followed the directions for question X as they were stated.

The individuals receiving the lowest frequency counts for question X were:

- X-e. a president of a publicly supported college/university within your state
- X-g. alumni
- X-i. corporate/business/civic leader(s)
- X-j. a member of a state government agency

Research question 8: Which publications provide helpful information?

In question IX in the questionnaire, respondents were asked to choose from a list of publications those which provided them with helpful information as they attempt to maintain working relationships with the governor and state legislators.

The publications receiving the highest frequency counts and percentages of responses were:

IX-c. The Chronicle of Higher Education

IX-d. publications/bulletins from the state association of independent colleges and universities

Less than 50% of the respondents chose the following publications:

IX-a. publications/bulletins from the Education Commission of the States

IX-b. Change magazine

IX-g. publications/newsletters from state legislators to constituents

IX-i. publications/bulletins from state government agencies

IX-j. CASC publications

Publications from the American Council on Education (ACE) and the Association of Governing Board Reports were selected by 54% and 52%, respectively, of the respondents.

The Michigan interviewees cited two primary sources of helpful information at the state level: publications or bulletins from AICUM and The Chronicle of Higher Education. The reasons given by the presidents for the selections they made were: Time constraints force

them to be very selective in their reading; therefore, they look for timely, relevant, useful, concise, and comprehensive information.

Results of Testing of Hypotheses

As stated in Chapter III, 10 research hypotheses were formulated to provide additional information related to questions I, V, VI, VII, VIII, and XI in the questionnaire. A correlation of the hypotheses to the research questions and to the applicable questionnaire questions can be found in Appendix N.

So as not to compound the overall alpha level (.10), an alpha level was set for each of the research hypotheses using the Bonferroni Inequality Technique (Kirk, 1968).

The hypotheses, stated in null form, and the results of the hypothesis tests are listed below.

Hypotheses 1 and 2:

H01: There is no significant relationship between respondents' state location and their perceptions of the importance of factors which may or may not affect the relationship of the independent sector of higher education to state governments in Region I of NAICU.

H02: There is no significant relationship between presidential tenure and the respondents' perceptions of the importance of factors which may or may not affect the relationship of the independent sector of higher education to state governments in Region I of NAICU.

Result: Since responses to question I in the questionnaire revealed a high degree of unanimity and homogeneity to all but 3 of the 17 factors, analyses to identify a relationship to the independent variables, "state location" and "presidential tenure," were deemed unnecessary and meaningless by the investigator. Accordingly, for the purposes of this study, the null hypotheses were tenable.

Hypothesis 3:

H0₃: There is no significant relationship between respondents' state location and their perceptions of the importance of factors which may or may not affect the relationship of an individual independent college or university to its respective state government in Region I of NAICU.

Result: Given the evidence presented by the data, and for the purposes of this study, H0₃ was rejected.

Using the Bonferroni Inequality Technique, the level of significance for each of the 19 factors tested was set at .005. Statistically significant relationships were found between the independent variable, "state location," and the respondents' perceptions of the importance of the following five factors from question V in the questionnaire:

V-c. the institution's reliance on state aid to students

V-e. the specific nature of the institution
(1) college or university
and

V-e. (3) enrollment

V-g. political literature or information read by the president

V-l. people who advise the president on public policy matters

V-c. Importance on an institution's reliance on state aid to students: Respondents in Illinois, Indiana, Iowa, Kansas, Minnesota, Missouri, and Wisconsin clearly perceived the factor as important to the relationship on individual college/university to state government. Minnesota respondents had the highest percentage of responses in the response category, "very important" (57.1%). Michigan respondents were the only ones whose responses covered the range of the five response categories, and their perceptions of the importance of

the factor were not as high as the seven states noted above. The North Dakota respondent perceived the factor as "very unimportant," while the respondents from South Dakota reflected a wider variance of opinion, though the modal response was "important." The overall response for Nebraska's respondents was "unimportant."

V-e. Importance of the specific nature of the university:

(1) college or university: Most of the respondents' perceptions revealed a range of opinion. However, the Kansas respondents perceived it very clearly as an important factor. The modal response for Illinois, Iowa, Michigan, Missouri, and Nebraska was "important," whereas the modal response for Indiana, Minnesota, South Dakota, and Wisconsin was "unimportant."

V-e. Importance of the specific nature of the university:

(3) enrollment size: Respondents from the following states perceived the factor as important: Illinois, Indiana, Iowa, Kansas, Michigan, Missouri, Nebraska, and Wisconsin. The modal response for Minnesota was "unimportant." While South Dakota respondents perceived the factor to be more important than unimportant (when the response categories "very important" and "important" were combined), an equal number perceived it "important" as "unimportant."

V-g. Importance of political literature or information read by the president: Respondents from Illinois, Indiana, Iowa, Kansas, Nebraska, South Dakota, and Wisconsin perceived the factor as an important one. Missouri responses were split between important and unimportant. While modal responses for Minnesota and Michigan were "important," an equal number in both states perceived the factor as

unimportant when the response categories "unimportant" and "very unimportant" were combined.

V-1. Importance of people who advise the president on public policy matters: This factor was perceived to be important by respondents from Illinois, Indiana, Iowa, Kansas, Minnesota, Missouri, South Dakota, and Wisconsin. Nebraska's overall perception was unimportant.

Hypothesis 4:

H04: There is no significant relationship between presidential tenure and the respondents' perceptions of the importance of factors which may or may not affect the relationship of an individual independent college or university to its respective state government in Region I of NAICU.

Result: Given the evidence presented by the data, for the purposes of this study, the null hypothesis was tenable.

Hypothesis 5:

H05: There is no significant relationship between respondents' state location and their reported use of various methods and tactics to relate to elected state government officials.

Result: Given the evidence shown by the data, for the purposes of this study, the null hypothesis was tenable.

Hypothesis 6:

H06: There is no significant relationship between presidential tenure and respondents' reported use of various methods and tactics to relate to elected state government officials.

Result: Given the evidence presented by the data, for the purposes of this study, the hypothesis was tenable.

Hypothesis 7:

H07: There is no significant relationship between respondents' location by state and their perceptions of the effectiveness of a select group of methods and tactics to influence the voting patterns of elected state government officials.

Result: Given the evidence presented by the data, for the purposes of this study, the hypothesis was tenable.

Hypothesis 8:

H08: There is no significant relationship between presidential tenure and the respondents' perceptions of the effectiveness of a select group of methods and tactics to influence the voting patterns of elected state government officials.

Result: Given the evidence shown by the data, for the purposes of this study, the hypothesis was tenable.

Hypothesis 9:

H09: There is no significant relationship between presidential tenure and the respondents' reported use of support groups in their relationships with elected state government officials.

Result: Given the evidence presented by the data, for the purposes of this study, the hypothesis was tenable.

Hypothesis 10:

H010: There is no significant relationship between mileage and the respondents' reported use of forms of communication with elected state government officials.

Result: Given the evidence shown by the data, for the purposes of this study, the hypothesis was tenable.

Although hypotheses V, VII, and VIII were tenable, it is noted that the levels of significance obtained for VIII-f ("sponsoring a social gathering for elected officials") and "state location," and XI-a ("attending legislative committee meetings") and "state location" and "presidential tenure" indicated statistically significant relationships between those activities and the specified independent variables.

Conclusions and Implications

As a result of analyzing the major findings of this research study, the investigator has drawn the following conclusions and implications:

1. There are definite common factors, internal and external to an institution, which clearly have an effect on the relationship of the independent sector and the individual independent colleges and universities in Region I of NAICU to state governments. However, the significant factor in both situations was the institution's membership in and the effectiveness of a state association of independent colleges and universities. The association's prominence in institutional-state government relations also surfaced in the findings to questionnaire items regarding individuals/organizations which influence positions and actions taken by the respondents in public policy matters; approaches used by the respondents when an independent higher education issue is before the Legislature; individuals who provide the respondents with helpful advice for state government relations; and regarding the sources of helpful and timely information for institutional-state government relationships. The findings from the interviews with the Michigan presidents not only corroborated questionnaire findings regarding the essential value of association membership but also confirmed, with unanimous voice, the absolute necessity of a united approach before state legislatures. The 17 Michigan interviewees claimed to have one of the three best state associations in the country, largely due to its highly professional and politically astute president, John L. Gaffney. Moreover, they

quickly suggested that were they to find themselves in a state with a mediocre or ineffective association director they would put their efforts into bringing in new and effective leadership because of their firm and unquestionable commitment to the united approach.

It seems clear that the existence and the quality of a state association have direct implications for the independent college and university presidents in Region I of NAICU and, perhaps, for all independent college/university presidents.

It appears that the political role (at the state level) for the majority of presidents of independent institutions in Region I is one which is shaped and directed by the sector's need for a united approach. The individual president need not be overly concerned with becoming a highly astute political practitioner who frequents legislative offices and chambers. It is apparent from this study's major findings that one of the crucial functions for the independent college/university president is to become actively involved in the state association (if one exists) by attending association meetings; by assisting in the creation of association goals and objectives; by responding to requests from the association staff for information; by assuming responsibility for evaluating the effectiveness of the association's executive director or administrator; and for following the directives and suggestions of the association regarding further direct involvement with state government officials.

In the absence of a strong and effective association, it would seem appropriate that an independent president assume responsibility for reversing that situation by serving as a catalyst to organize the

removal of obstacles to the association's effectiveness with state officials--ineffective staff, insufficient financial resources, poorly defined association goals, etc.

In states with very few independent institutions, perhaps the political role of an independent president is to represent colleagues before the legislature by acting as spokesperson or legislative liaison. While the form and structure may not be as formal as an organized association with a full-time paid director, the approach, nevertheless, would be united and representative of the whole sector.

The existence of a state association also frees the president of an independent college or university of the need to be constantly cognizant of developments in the legislature, or to be acutely and astutely aware of the highly complex factors operating on any given issue, or the overt as well as subtle factors affecting state government roles and legislative decision making. Monitoring the mood and developments in the executive offices and the state legislature, while of concern to any independent college or university president, should be the responsibility of the state association's director. It is, however, incumbent upon the independent college and university presidents (the membership of the state association) to hold the director accountable for apprising them of significant developments which may have an effect either on their individual institutions or on the sector as a whole.

The state association, while removing the president from daily or frequent state government contacts, does not free the president from understanding basic political processes, from knowing the

state's economic and social conditions, and from realizing and accepting the reality of major demands made upon legislators by numerous and probably more powerful lobbying groups, each claiming legislative time, and ultimately supportive legislation and/or appropriations. It would seem, from the criticisms made by legislators of educators, that the independent sector, often the minority in a state's higher education system, should exhibit a reasonable and understanding attitude toward legislative functions and be willing, on occasion, to compromise. Such attitudes, it appears, should be discussed at association meetings as possible directives from the membership to the leadership at the executive level and to the association staff.

In summary, the basically united approach of the independent sector to state governments in Region I helps to maintain its autonomy and freedom from excessive institutional state control. It does not, however, absolve the sector from legitimate accountability for state funds.

An effective state association can allow the independent college/university president to participate in the political process through an intermediary who, hopefully, represents the articulated goals and objectives of the membership to state officials, and, in turn, reports significant and relevant political developments to the membership in a clear and concise manner, calling for more direct involvement when such is warranted or deemed necessary. Such determinations can only be made by those who are politically astute, highly skilled in political relationships, informed, known and accepted by

government officials, and physically present for legislative- and executive-level developments.

2. Other major findings in the study led the investigator to conclude that a second major component of the political role for the independent college/university presidents is to develop and maintain personal relationships with state legislators from their institutions' districts. Neither proximity to the state Capitol nor high visibility in the legislative halls is necessary for such relationships to develop. It was apparent from questionnaire findings and interviews that independent presidents were achieving success in developing and maintaining good, effective personal relationships through the use of the following activities: inviting district legislators to visit their campuses, to meet the administrators, faculty, students, or to address student groups or classes on important state issues or problems in which they have some expertise; informing district legislators of the effects on their institutions of proposed legislation, existing state laws or regulations, or the governor's proposed education budget. (The Michigan presidents reported that while they engaged in the latter activities and found them to be effective, very often the stimulation was received from the state association.) The respondents also noted the use and effectiveness of inviting district legislators to attend significant campus celebrations or events, such as Founders' Days, dedications of buildings, etc., at which the legislator was introduced and recognized out of respect for the office held and not necessarily as a vote-getting tactic.

Questionnaire respondents and interviewees also noted their frequent use and perceived effectiveness of providing district legislators with current information about their institutions. It would seem appropriate that on occasion the president should send the district legislator a copy of major campus publications, such as the president's annual report, publications from the Development office, the Admissions office, the student paper. Providing legislators with accurate information certainly would be an answer to repeated and forceful pleas and criticisms made by legislators and cited in the literature (Bailey, 1974; Halperin, 1974; Klebanoff, 1976; Lowery, 1966; Nowlan, 1976; Vasconcellos, 1974).

3. Questionnaire responses and interviewee comments to the perceived effectiveness of tactics used to influence voting patterns of elected officials revealed distinctions between effective and ineffective tactics but also revealed respondents' inability or unwillingness to rate some tactics. Of the 11 questions in the questionnaire, this question elicited the highest number of responses in the "do not know" response category. The investigator has concluded that since the respondents are not directly involved in lobbying efforts, many do not have the experience or knowledge to make such distinctions. Perhaps those who did rate the effectiveness of a tactic knew from first-hand experience, from information received from the state association, or answered as they thought they "should." Clearly, the effective techniques or tactics centered around providing legislators with information about one's institution, making suggestions regarding possible legislation, and informing state officials

of the effects on one's institution of existing state laws and regulations and the Governor's proposed education budget. Each effective tactic related to a provision of information to the decision maker, one of the frequently cited factors affecting educational legislative decision making, as noted earlier. It seems as if many of the independent college and university presidents in Region I of NAICU are not as politically naive as some educators who are referred to in the literature (Budig & Rives, 1973; King, 1975; Watkins, 1972).

It would seem that if the legislators (as reported in previously cited literature) are pleading for accurate, timely, and relevant information upon which to carry out their legislative functions, the independent presidents in Region I ought to continue their use of providing information and making suggestions to state legislators. One would only hope that such information met the criteria set by the legislators: timely, relevant, accurate, and understandable.

4. The findings related to the minimal use of support groups, such as trustees, administrators, and faculty, and the very infrequent use of alumni and students are somewhat contradictory to suggestions found in the literature for enhancing the political visibility and clout of colleges and universities (Black, 1976; Gladioux, 1977; Millett, 1974). Perhaps the existence of a coordinating and unifying effort, the state association, diminishes the need for individual presidents to involve their constituent groups. One could also speculate that colleges and universities (public or independent) do not philosophically support the notion of using those groups in political matters. Several Michigan interviewees noted institutional policies

which limited the involvement of such constitutive groups in political matters. This finding also verifies a related finding regarding the groups which influence the positions and actions taken by the institutions in state public policy matters. Students and alumni received the lowest frequency counts. This finding is puzzling to the investigator in that most independent colleges and universities seek state support primarily in the form of financial aid to students. It would appear that the students' needs would be a more significant determinant of an institution's positions and actions in state public policy matters. Since the groups receiving the highest frequency counts were the trustees, administrators of the institution, and the state association, the investigator surmises that the respondents were reflecting on the group which primarily directs their political efforts (the association) and the two groups customarily associated with defining and approving institutional policy, the administration and Board of Trustees, respectively. This issue will be addressed further in a later section.

5. Neither state location nor the respondents' years in office (presidential tenure) was related in a statistically significant manner to the respondents' perceptions of the importance of factors affecting the relationship of the independent sector to state government, the frequency of use of selected methods in relating to elected state government officials, and the perceived effectiveness of activities/tactics in influencing the voting patterns of legislators. No statistically significant relationships were found between presidential tenure and the use of support groups in government relations

or the respondents' perceptions of the importance of factors affecting the relationship of an individual independent institution to elected state government officials. Although a statistically significant relationship was found between state location and respondents' perceptions of the importance of five of the factors just noted, no pattern of state groupings emerged. While the findings may be statistically significant, they do not appear to have any substantially practical application. The investigator suggests a post-hypothesis that perhaps the state association's posture or perception regarding the importance of these factors may be acting as an intervening variable.

Recommendations for Further Study

In view of the noted limited research in the area of the politics of higher education, especially with regard to independent sector-state government relations, and as a result of the major findings of this study, the investigator proposes the following areas for further research:

1. State associations of independent colleges and universities:

In view of the lack of research on the effects of state associations in independent sector-state government relations, coupled with the clear importance of such associations as revealed in this study, it would appear that further research is warranted. The investigator suggests the following topics for possible study with related sub-questions:

a. Functions of state associations: What are the primary functions of state associations, and who or what factors contribute to the definition of those functions?

b. Effectiveness of state associations: Do the members of state associations evaluate the effectiveness of the associations? By what methods and criteria? How is the effectiveness of state associations perceived by the membership, by state legislators, by the professional staff? Do perceptions of effectiveness differ substantially among states? Is there a relationship between the existence and effectiveness of a state association and the kinds and amount of state aid appropriated to a state's independent colleges and universities and/or their students?

c. Comparisons with the public sector of higher education: How does the basically united approach of independent colleges and universities compare with the effectiveness of the approaches used by state-owned institutions? How are the different approaches viewed by state legislators, governors, legislative liaison personnel, and/or presidents of institutions in both sectors? Can the joint approach of both sectors, recommended by some authors, be a viable, realistic, and effective alternative to individual representation before state governments?

d. Nonassociation independent colleges and universities: Data from this study revealed that 99% of the 149 respondents were members of a state association of independent colleges and universities. Perhaps some investigation should be made of those institutions which choose not to belong to a state association. Do they and how do they

relate to state government officials? Are there any advantages or disadvantages to non-state association membership? Do state legislators have different perceptions of institutions which are not association members vis-à-vis those which are members?

2. Comparisons of major findings with the public sector and/or other geographic regions: Since many questionnaire responses revealed high degrees of unanimity and homogeneity of perceptions, one is led to speculate as to whether or not similar responses would emerge from other geographic regions of the country or from presidents of state-owned institutions within Region I. Are the study's major findings regarding use and perceived effectiveness of tactics for influencing legislative voting substantiated by another study population? Do state-supported institutions or other regional institutions focus on the same state officials and for similar reasons? Replication of the interview, with this study's major findings as a basis for the interview questions, may be a more effective and enlightening design than replication of the study's questionnaire.

3. The legislative education specialist: Some authors noted the emergence and importance of the education specialist within the structure of state legislatures (Budig & Rives, 1973; Goodall et al., 1971; Rosenthal, 1974). Is the emerging role of the education specialist in state legislatures having an effect on higher education-political relationships, on the communication between politicians and educators, and on the voting patterns of legislators on higher education issues?

4. Use of support groups: While literature citations bemoaned the reluctant use of political clout by colleges and universities and recommended greater and more forceful use of campus constituents, especially students and alumni (Gladieux, 1977; Gove & Carpenter, 1977), respondents in this study revealed that they do not generally or actively engage such constituents in institutional-state government issues.

The literature also contained references to the emergence of organized student lobbies in both sectors of higher education. Perhaps some research should be conducted regarding the efficacy of student lobbies as perceived by presidents in both sectors, directors of state associations of independent institutions, legislative education specialists, state legislators, and the student lobbyists.

Alumni seem to be a potential source of political strength for colleges and universities and yet, as this study reported, are infrequently called upon as a support group. What factors contribute to the infrequent use of alumni and the hesitancy on the part of independent colleges and universities to involve them in state public policy issues? There seems to be some contradiction between the effective use of alumni as reported by AICUM's president and the remarks made by the Michigan interviewees. One Michigan president noted that while alumni involvement was often recommended by AICUM, and while AICUM was willing to provide information to alumni, especially regarding candidates' positions on state issues, an institutional Board of Trustees policy prohibited such activities with alumni. Is such a policy commonplace among colleges and universities?

Is the involvement of an institution's alumni in state political matters inappropriate and for what reasons?

While the questions posed above in no way cover the gamut of yet-unanswered questions in the politics of higher education, they may stimulate other researchers who are as curious and as interested as this investigator in higher education-state government relationships. The investigation undertaken in this research project has only further aroused this investigator's curiosity and drive to search for new answers and information.

APPENDICES

APPENDIX A

THE QUESTIONNAIRE

APPENDIX A

SURVEY OF THE RELATIONSHIP OF INDEPENDENT HIGHER EDUCATION TO STATE GOVERNMENTS - APRIL 1980

Sister Linda Bevilacqua, O.P.,
Researcher
(517) 332-0293 or (517) 353-5220

905 Alton Street
East Lansing, Michigan 48823

*This questionnaire focuses on the relationship of independent
colleges and universities to elected state government officials,
specifically: the Governor and state legislators.*

- I. Below you will find a selected list of factors which may affect the relationship of the independent sector of higher education to state governments. Please indicate [] how you perceive the importance of EACH factor in your state.

	Essential	Important	Unimportant	Irrelevant	Do Not Know
a. Understanding of the state's political processes by presidents of the independent colleges universities	[]	[]	[]	[]	[]
b. Governor's position on state aid to independent higher education	[]	[]	[]	[]	[]
c. The state Constitution	[]	[]	[]	[]	[]
d. Merits of the issue contained in a particular bill which relates to independent higher education	[]	[]	[]	[]	[]
e. Number of independent colleges and universities in the state	[]	[]	[]	[]	[]
f. Effectiveness of the state association of independent colleges and universities	[]	[]	[]	[]	[]
g. Legislators' personal philosophy about state aid to independent institutions and their students	[]	[]	[]	[]	[]
h. Personalities of the presidents of the independent colleges universities	[]	[]	[]	[]	[]
i. Percent of state students enrolled in independent colleges universities	[]	[]	[]	[]	[]
j. Independent sector's provision of service to citizens of the state	[]	[]	[]	[]	[]
k. Communication techniques used by the independent colleges' universities in their relationships with the Governor and state legislators	[]	[]	[]	[]	[]
l. Extent to which a vote for independent higher education will help or hurt a legislator in the next election	[]	[]	[]	[]	[]
m. Responsiveness of independent colleges universities in meeting needs and requests of individual legislators or the Governor	[]	[]	[]	[]	[]
n. Fiscal implications of each bill which pertains to independent higher education	[]	[]	[]	[]	[]
o. Stature of the state's independent colleges and universities	[]	[]	[]	[]	[]
p. Relationship between public higher education and independent higher education in the state	[]	[]	[]	[]	[]
q. Mutual trust between state educators and elected state government officials	[]	[]	[]	[]	[]

- II. If you actively relate to elected state government officials (specifically, the Governor and state legislators), please RANK the TOP THREE officials on whom you focus your attention during any given year.

- [] a. The Governor
- [] b. State legislators from your institution's district
- [] c. Elected leadership of the state Legislature (e.g., Speaker of the House, majority leader of Senate, etc.)
- [] d. State legislators who are members of a legislative committee which discusses education and/or higher education
- [] e. State legislators who consistently vote in favor of independent higher education issues
- [] f. Those legislators who, though not elected to formal leadership within the Legislature, are leaders by virtue of their personal influence within the Legislature
- [] g. State legislators who are members of a legislative committee which discusses appropriations to higher education
- [] h. Other state official(s) _____
(please specify title position)
- [] i. We do not actively relate to elected state government officials

III. Please check [] HOW OFTEN you use EACH of the approaches listed below when an issue before the state Legislature will have an impact on independent higher education (e.g., appropriations).

	Always	Occasionally	Rarely	Never
a. I express my views <u>directly</u> to state government officials when an issue will have an impact on <u>independent higher education</u> in the state.	[]	[]	[]	[]
b. I express my views <u>directly</u> to state government officials when an issue will have an impact on <u>our institution</u> .	[]	[]	[]	[]
c. I enlist the support of other members of the institution (faculty, students, Trustees) to make known <u>their</u> views on an issue which will affect <u>independent higher education</u> .	[]	[]	[]	[]
d. I enlist the support of other members of the institution (faculty, students, Trustees) to make known <u>their</u> views on an issue which will affect <u>our institution</u> .	[]	[]	[]	[]
e. I <u>expect</u> the staff of the state association of independent colleges and universities to know and to represent the views of the <u>independent sector</u> on the issue before the Legislature.	[]	[]	[]	[]
f. I <u>express</u> my views on the particular issue to the staff of the state association <u>and expect</u> them to represent my view to state government officials.	[]	[]	[]	[]

IV. From the list below, please RANK the TOP THREE individuals/organizations which influence the positions and actions taken by your institution in public policy matters at the state level of government.

- [] a. The executive administrators of the institution
 [] b. The faculty
 [] c. The students
 [] d. The Alumni of the institution
 [] e. The institution's Board of Trustees
 [] f. The state association of independent colleges and universities
 [] g. Church religious leaders
 [] h. Corporate business/civic leaders
 [] i. Legislative specialist or government liaison on the institution's staff
 [] j. Others _____

(Please specify title or position)

V. In your opinion, how IMPORTANT is each of the following selected factors in affecting the relationship of an INDIVIDUAL college or university to elected state government officials?

	Very Important	Important	Unimportant	Very Unimportant	Do Not Know
a. The independent status of the institution	[]	[]	[]	[]	[]
b. The institution's proximity to the state Capitol	[]	[]	[]	[]	[]
c. The institution's reliance on state aid to students	[]	[]	[]	[]	[]
d. The institution's reliance on federal monies	[]	[]	[]	[]	[]
e. The specific nature of the institution					
(1) College or university	[]	[]	[]	[]	[]
(2) Church related or non-church related	[]	[]	[]	[]	[]
(3) Enrollment size	[]	[]	[]	[]	[]
f. People who <u>influence</u> the institution's position in public policy matters	[]	[]	[]	[]	[]
g. Political literature or information read by the President	[]	[]	[]	[]	[]
h. Personal relationships with the Governor or state legislators	[]	[]	[]	[]	[]
i. The President's academic preparation and background	[]	[]	[]	[]	[]
j. The President's personality	[]	[]	[]	[]	[]
k. The President's years in office	[]	[]	[]	[]	[]
l. People who <u>advise</u> the President on public policy matters	[]	[]	[]	[]	[]
m. The President's previous experience as president of another college university	[]	[]	[]	[]	[]
n. The President's previous nonacademic work experience	[]	[]	[]	[]	[]
o. Forms of communication used by the President in relating to state government officials	[]	[]	[]	[]	[]
p. Meetings/seminars/conferences attended by the President which address political public policy matters	[]	[]	[]	[]	[]
q. Membership in the state association of independent colleges and universities	[]	[]	[]	[]	[]

- VI. When one wishes to communicate directly with the Governor and state legislators regarding the impact of pending legislation on independent higher education, there are several forms of communication which can be used. For EACH official listed, please check [] the ONE form of communication which you use in the MAJORITY of instances.

	Telephone Call	Personal Letter	Visit To Office	Invitation To Lunch Dinner	I Do Not Communicate Directly With This Official
a. The Governor	[]	[]	[]	[]	[]
b. Legislator(s) from your institution's district	[]	[]	[]	[]	[]
c. Key legislators related to the issue (if different from your district legislator)	[]	[]	[]	[]	[]
d. Other legislators	[]	[]	[]	[]	[]

- VII. On occasions when you enlist the support of others to make state government officials aware of effects of an issue on your institution or on independent higher education in general, how often do you ask the following groups for support?

	Always	Occasionally	Rarely	Never
a. Administrators of the institution	[]	[]	[]	[]
b. Faculty or staff of the institution	[]	[]	[]	[]
c. Students	[]	[]	[]	[]
d. Alumni	[]	[]	[]	[]
e. Members of the institution's Board of Trustees	[]	[]	[]	[]
f. Civic/corporate/business leaders of the local community	[]	[]	[]	[]
g. Religious/church leaders	[]	[]	[]	[]

- VIII. Below is a list of activities which may or may not be used by college university presidents as part of their effort to relate to elected state government officials. Please indicate [] HOW OFTEN you engage in EACH ACTIVITY.

	Regularly	Occasionally	Rarely	Never
<i>HOW OFTEN DO YOU:</i>				
a. attend legislative committee meetings?	[]	[]	[]	[]
b. invite elected state government officials to				
(1) address alumni groups?	[]	[]	[]	[]
(2) speak to student groups/classes?	[]	[]	[]	[]
(3) give a Commencement address?	[]	[]	[]	[]
(4) address professional groups of educators?	[]	[]	[]	[]
c. provide information about your institution to elected state government officials?	[]	[]	[]	[]
d. make suggestions to state government officials regarding possible legislation to solve problems particular to Independent higher education?	[]	[]	[]	[]
e. inform elected state government officials of the effects on your institution of:				
(1) existing state laws?	[]	[]	[]	[]
(2) existing state regulations?	[]	[]	[]	[]
(3) the Governor's proposed education budget?	[]	[]	[]	[]
f. sponsor a social gathering for elected state government officials?	[]	[]	[]	[]
g. extend personal favors to elected state government officials, to their families, and/or staff?	[]	[]	[]	[]
h. ask elected state government officials to be present at Commencements?	[]	[]	[]	[]
i. ask elected state government officials to be present at significant campus events or celebrations?	[]	[]	[]	[]
j. award an honorary degree to elected state government official(s)?	[]	[]	[]	[]

- IX. As you attempt to maintain working relationships with the Governor and state legislators, which of the following publications provide you with helpful information? Please check as many as apply.

[] a. Publications/bulletins from the Education Commission of the States	[] g. Publications/newsletters from state legislators to constituents
[] b. <u>Change</u>	[] h. The <u>Association of Governing Board Reports</u>
[] c. <u>The Chronicle of Higher Education</u>	[] i. Publications/bulletins from state government agencies
[] d. Publications/bulletins from the state association of independent colleges and universities	[] j. CASC publications
[] e. ACE publications	[] k. Other <u>(please specify title source of publication)</u>
[] f. The local newspaper	[] l. We do not actively relate to elected state government officials.

X. From the list below, please RANK the TOP THREE individuals who provide you with the most helpful advice for your relationship with elected state government officials.

- ☐ a. An independent college/university president from your state
- ☐ b. A member of the state Legislature
- ☐ c. The executive administrators of the institution
- ☐ d. A member of the Governor's staff
- ☐ e. A president of a publicly supported college/university within your state
- ☐ f. The staff of the state association of independent colleges and universities
- ☐ g. Alumni
- ☐ h. A member of institution's Board of Trustees
- ☐ i. Corporate business/civic leader(s)
- ☐ j. A member of a state government agency _____
(please specify title and agency)
- ☐ k. Friends and acquaintances
- ☐ l. Legislative specialist or government liaison on the institution's staff
- ☐ m. Others _____
(please specify title/position)
- ☐ n. We do not actively relate to elected state government officials.

XI. In your opinion, how EFFECTIVE is EACH of the following activities in influencing the voting patterns of elected state government officials?

HOW EFFECTIVE IS :	Very Effective	Effective	Ineffective	Very Ineffective	Do Not Know
a. attending legislative committee meetings?	☐	☐	☐	☐	☐
b. Inviting elected state government officials to:					
(1) address alumni groups?	☐	☐	☐	☐	☐
(2) speak to student groups/classes?	☐	☐	☐	☐	☐
(3) give a Commencement address?	☐	☐	☐	☐	☐
(4) address professional groups of educators?	☐	☐	☐	☐	☐
c. providing information about your institution to elected state government officials?	☐	☐	☐	☐	☐
d. making suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education?	☐	☐	☐	☐	☐
e. informing elected state government officials of the effects on your institution of:					
(1) existing state laws?	☐	☐	☐	☐	☐
(2) existing state regulations?	☐	☐	☐	☐	☐
(3) the Governor's proposed education budget?	☐	☐	☐	☐	☐
f. sponsoring a social gathering for elected state government officials?	☐	☐	☐	☐	☐
g. extending personal favors to elected state government officials?	☐	☐	☐	☐	☐
h. asking elected state government officials to be present at Commencements?	☐	☐	☐	☐	☐
i. asking elected state government officials to be present at significant campus events or celebrations?	☐	☐	☐	☐	☐
j. awarding an honorary degree to elected state government official(s)?	☐	☐	☐	☐	☐

Please indicate the enrollment of your institution: ☐ under 200 ☐ 200 - 499 ☐ 500 - 999 ☐ 1,000 - 2,499 ☐ 2,500 - 4,999 ☐ 5,000 - 9,999 ☐ 10,000 - 19,999 ☐ 20,000 and above

Please indicate the approximate mileage from your institution to the capital city of your state: ☐ 1 - 50 miles ☐ 51 - 100 miles ☐ 101 - 150 miles ☐ 151 - 200 miles ☐ 200+ miles

At the present time is your institution a member of your state's association/federation/council of independent colleges and universities? ☐ YES ☐ NO

How long have you been the President of this institution?

If you were previously President of another college or university, please provide the following information:

	Location (by state)	Control (independent or public)	Tenure (in years)
Institution A			
Institution B			
Institution C			

Please indicate your academic field of concentration for each applicable degree:

Bachelor's _____ Master's _____
Doctoral _____ Professional _____

THANK YOU for your cooperation in completing this questionnaire. If you wish a summary of the results, please complete the enclosed Request Form and return it with the questionnaire or by separate mailing. A stamped, self-addressed envelope is enclosed for return of the questionnaire.

Sister Linda Beauducq, O.P.
90 Allen Street
East Lansing, Michigan 48823

APPENDIX B

RELATIONSHIP OF QUESTIONNAIRE QUESTIONS TO
RESEARCH QUESTIONS

APPENDIX B

RELATIONSHIP OF QUESTIONNAIRE QUESTIONS TO RESEARCH QUESTIONS

<u>Questionnaire</u>	<u>Research Questions</u>
I	1
II	5
III	5
IV	5
V	2
VI	6
VII	5
VIII	3
IX	8
X	3, 7
XI	4

APPENDIX C

INTERVIEW GUIDE

MAY-JUNE 1980

APPENDIX C

INTERVIEW GUIDE

MAY-JUNE 1980

Introduction

Present self and spend a few minutes establishing rapport with the interviewee and resolving the following details:

1. Define the purpose of the interview, namely, to gather additional qualitative data related to the questionnaire based on perceptions of Michigan's independent college and university presidents.
2. Note that the interview will take from 30 to 40 minutes and that interview information will be kept confidential.
3. Seek permission to tape-record the interview.
4. Seek permission to call the president "Mr. or Madame President," as the case may be, to guarantee anonymity.
5. Clarify the focus of the interview: the relationship of independent colleges and universities to state government, specifically, the Governor and state legislators.
6. Begin the interview.

Interview Questions

1. During any given year, an independent college or university president may focus on any of a number of elected state government officials. From this list (hand separate card to interviewee), please rank the following officials from 1 to 4, with 1 being highest.

- A. State legislators who are members of the Appropriations Committee of the state Legislature
- B. The Governor
- C. State legislators who are members of a legislative committee which discusses education and/or higher education issues
- D. State legislators from your institution's district

(Pause. After interviewee provides the ranking, continue with the question.)

Why did you rank one official over the other?

2. From the results received thus far, there seems to be a difference of opinion among your colleagues (other independent college presidents) as to when other members of the college community, administrators, faculty, students, alumni, trustees, are enlisted to lend support on an issue of state public policy. Under what circumstances would these college constituents be asked and when would they not be asked?
3. There also seems to be a difference of opinion among your colleagues as to the importance of an institution's reliance on federal monies as a factor which may or may not affect the institution's relationship to its state government. Why do you see that factor (an institution's reliance on federal monies) as either unimportant or important to its relationship to the state government?
4. Generally speaking, from the results received thus far, extending personal favors to state government officials is perceived as less effective than positive. How do you view this matter and why?
5. Do you or any members of your staff regularly attend legislative committee meetings or hearings? (If response does not include a reason, ask the why of the response.)
6. Occasionally state government legislators are invited to address campus groups, e.g., students, alumni, faculty. Would you ever invite them and why?
7. If you had to give advice to a colleague (another independent college president) regarding the maintenance of effective relationship with state government officials, what is the least effective thing she or he could do and what is the most effective thing she or he could do?
8. There are many characteristics of an individual president, both academic and nonacademic, which may affect that president's relationship with elected state government officials. How do you think those characteristics might be unimportant or important to the relationship of an individual college president to state government officials? (If the president asks what characteristics, start to suggest a few but do not provide all of them, e.g., "academic background, personality. . . .")

9. When relating to the Governor and to state legislators, personal letter seems to be the most frequent form of communication preferred by your colleagues. There are instances when a personal letter is not used. In what instances would you not use a personal letter?
10. A variety of publications are cited by your colleagues as providing helpful information for their relationship to state governments. Do you have a particular reason for reading one publication as opposed to another or do you have a basis for choosing one over another?

Conclusion

Extend appreciation to the interviewee for participation in the research study and for his/her cooperation. Note that participants will be provided with a summary of results of the study.

APPENDIX D

RELATIONSHIP OF INTERVIEW QUESTIONS AND QUESTIONNAIRE

APPENDIX D

RELATIONSHIP OF INTERVIEW QUESTIONS AND QUESTIONNAIRE

<u>Interview Question</u>	<u>Questionnaire Question(s)</u>
1	II
2	III-c, III-d, VII
3	V-d
4	VIII-g, XI-g
5	VIII-a, XI-a
6	VIII-b
7	I, V, VIII, XI
8	V-i to V-k, V-m, V-n
9	VI
10	IX

APPENDIX E

COVER LETTER TO MICHIGAN INDEPENDENT COLLEGE AND
UNIVERSITY PRESIDENTS

APPENDIX E

COVER LETTER TO MICHIGAN INDEPENDENT COLLEGE AND
UNIVERSITY PRESIDENTS

MICHIGAN STATE UNIVERSITY

COLLEGE OF EDUCATION
DEPARTMENT OF ADMINISTRATION AND HIGHER EDUCATION
ERICKSON HALL

EAST LANSING • MICHIGAN • 48824

April 25, 1980

As a trustee of a Michigan independent institution and as a recent administrator of a Florida independent college, I am very conscious of the diversity which exists among our institutions. I am also always impressed with the variety of ways in which we interact with our numerous publics - Alumni, Boards of Trustees, corporate and business leaders, local, state, and federal government officials.

At the present time, I am a doctoral student in the Department of Administration and Higher Education at Michigan State University, and am studying the relationship of selected independent colleges and universities to elected state government officials, specifically, the Governor and state legislators. There is an expressed need in the literature for more research in the area of the politics of higher education, especially with regard to the independent sector. I am pleased to tell you that this study has been endorsed by the Association of Independent Colleges and Universities of Michigan.

Your participation in this study is very important to me and to the success of the research. Data will be gathered through the use of a written questionnaire and a personal interview with each selected president. I am asking you to take a few minutes of your time to complete the enclosed questionnaire and return it in the stamped, self-addressed envelope by May 12.

I will call your office within the week to arrange an interview appointment with you at your convenience. Since I will be conducting over 20 interviews I will appreciate your cooperation in my efforts to schedule interviews with presidents who are in geographic proximity to one another. With your permission, I would like to tape-record the interview to provide a more complete and accurate record of our conversation. The interview is structured to take no more than 30-40 minutes.

All questionnaire and interview information will be treated confidentially. The names of the participating institutions will be included in the Appendix of the dissertation but at no time will your name be listed nor will a direct reference be made to you or to your institution. A code number has been affixed to each questionnaire to identify institutions by state and for the purpose of follow-up of non-respondents.

If a summary of the results of the study would be of interest to you, please complete the enclosed Request Form and return it with the questionnaire or by separate mail.

Thank you for your cooperation in completing the questionnaire. I look forward to meeting with you soon.

Sincerely,



Sister Linda Bevilacqua, O.P.
Doctoral Candidate
905 Alton Street
East Lansing, MI 48823
(517)332-0293



Louis C. Stamatakis, Ph.D.
Professor
427 Erickson Hall
East Lansing, MI 48824
(517)353-5220

LB:cmk

Enclosures (3): Questionnaire
Return Envelope
Request Form

APPENDIX G

FOLLOW-UP LETTER TO NONRESPONDENTS

APPENDIX G

FOLLOW-UP LETTER TO NONRESPONDENTS

MICHIGAN STATE UNIVERSITY

COLLEGE OF EDUCATION
DEPARTMENT OF ADMINISTRATION AND HIGHER EDUCATION
ERICKSON HALL

EAST LANSING • MICHIGAN • 48824

May 9, 1980

About two weeks ago I sent you a letter and a questionnaire concerning the relationship of independent colleges and universities to elected state government officials, the topic of my doctoral dissertation at Michigan State University. As a trustee of a Michigan independent institution and as a recent administrator of a Florida independent college, I realize that great demands are made on your time and that you are the recipient of numerous questionnaires.

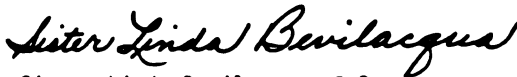
I believe that a systematic investigation of the varied relationships of independent institutions to their respective state governments, a need expressed in the literature of the politics of higher education, can provide us with practical and beneficial information. Will you please take a few minutes of your time to complete the enclosed questionnaire and return it in the stamped, self-addressed envelope? If you have already completed and returned the questionnaire, please disregard this request.

The names of the participating institutions will be included in the Appendix of the dissertation but at no time will your name be listed nor will a direct reference be made to you or to your institution. A code number has been affixed to each questionnaire to identify institutions by state.

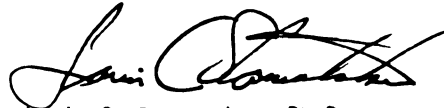
If a summary of the results of the study would be of interest to you, please complete the enclosed Request Form and return it with the questionnaire.

Thank you for your consideration and cooperation in the development of knowledge and information important to independent higher education.

Sincerely,



Sister Linda Bevilacqua, O.P.
905 Alton Street
East Lansing, MI 48823
(517)332-0293



Louis C. Stamatakis, Ph.D.
Professor, Department of
Administration & Higher Education
(517)353-5220

Enclosures (3)

APPENDIX H

LOG OF QUESTIONNAIRE RETURNS

APRIL 29-JUNE 6, 1980

APPENDIX H

LOG OF QUESTIONNAIRE RETURNS

APRIL 29-JUNE 6, 1980

Date Received		Number Received
April	29	2
	30	3
May	1	14
	2	19
	3	14
	5	18
	6	3
	7	7
	8	16
	9	4
	10	4
	12 ^a	5
	13	1
	14 ^b	3
-----		-----
	15 ^c	6
	16	4
	17	5
	19	6
	20	1
	22	2
	23	1
	24	2
	27	5
	30	1
	31	1
June	4	1
	6	1

^aMay 12, 1980--date requested in original letter for return of completed questionnaires.

^bMay 14, 1980--Wave One of the returns was comprised of completed questionnaires received on or before May 14, 1980 (N = 113).

^cMay 15, 1980--Wave Two of the returns was comprised of completed questionnaires received between May 15, 1980, and June 6, 1980 (N = 36).

APPENDIX I

CODEBOOK

APPENDIX I

CODEBOOK

States and Respective Codes

Illinois	01	Missouri	60
Indiana	10	Nebraska	70
Iowa	20	North Dakota	80
Kansas	30	South Dakota	90
Michigan	40	Wisconsin	95
Minnesota	50		

Institutional Codes

Institutions were alphabetized by state and identified by a double-digit number beginning with 01, 02, etc.

Waves One and Two

Wave One = 1

Wave Two = 2

Missing Values

Incorrect response, e.g., checking two response categories when directions asked for one response = 8 or 88

No response to a questionnaire item = 9 or 99

Indicators for Questions II, IV, and X

Answered question as directed = 1

Did not answer question as directed = 0

Question I--Response Categories

Essential = 4

Important = 3

Unimportant = 2

Irrelevant = 1

Do not know = 0

Question II--Officials

a = 1	e = 5
b = 2	f = 6
c = 3	g = 7
d = 4	h = 8

II-i. Checked the statement = 1
 Did not check = 0

Questions III and VII--Response Categories

Always = 4	Rarely = 2
Occasionally = 3	Never = 1

Question IV--Individuals/Organizations

a = 01	f = 06
b = 02	g = 07
c = 03	h = 08
d = 04	i = 09
e = 05	j = 10

Question V--Response Categories

Very Important = 4	Very Unimportant = 1
Important = 3	Do not know = 0
Unimportant = 2	

Question VI--Response Categories

Telephone call = 4	Invitation to lunch/ dinner = 1
Personal letter = 3	
Visit to office = 2	I do not communicate directly with this official = 0

Question VIII--Response Categories

Regularly = 4	Rarely = 2
Occasionally = 3	Never = 1

Question IX

Checked the publication = 1
 Did not check = 0

IX-1. Checked the statement = 1
 Did not check = 0

Question X--Individuals

a = 01	g = 07
b = 02	h = 08
c = 03	i = 09
d = 04	j = 10
e = 05	k = 11
f = 06	l = 12
	m = 13

X-n. Checked the statement = 1
 Did not check = 0

Question XI--Response Categories

Very Effective = 4	Very Ineffective = 1
Effective = 3	Do not know = 0
Ineffective = 2	

Enrollment

Under 200 = 1	2,500- 4,999 = 5
200- 499 = 2	5,000- 9,999 = 6
500- 999 = 3	10,000-19,999 = 7
1,000-2,499 = 4	20,000 and above = 8

Mileage

1-50 miles = 1	151-200 = 4
51-100 = 2	200+ = 5
101-150 = 3	

Association Membership

Yes = 1 No = 0

Presidential Tenure

Actual number of years was used as code, e.g.:

8 years = 08, 16 years = 16, etc.

Previous Presidential Experience

Previous experience = 1

No previous experience = 0

Educational Level

Bachelor's degree = 1

Master's = 2

Doctoral = 3

Professional = 4

Doctoral plus professional = 5

APPENDIX J

FREQUENCIES OF QUESTIONNAIRE RESPONSES

APPENDIX J

FREQUENCIES OF QUESTIONNAIRE RESPONSES

SURVEY OF THE RELATIONSHIP OF INDEPENDENT HIGHER EDUCATION TO STATE GOVERNMENTS APRIL 1980

Sister Linda Bevilacqua, O.P.
Researcher
(517) 333-9291 or (517) 353-5220

905 Alton Street
East Lansing, Michigan 48823

This questionnaire focuses on the relationship of independent colleges and universities to elected state government officials, specifically, the Governor and state legislators.

- I. Below you will find a selected list of factors which may affect the relationship of the independent sector of higher education to state governments. Please indicate [] how you perceive the importance of EACH factor in your state.

	Essential	Important	Unimportant	Irrelevant	Do Not Know
a. Understanding of the state's political processes by presidents of the independent colleges/universities	76	71	1		
b. Governor's position on state aid to independent higher education	93	53	2		1
c. The state Constitution	37	77	23	5	6
d. Merits of the issue contained in a particular bill which relates to independent higher education	84	62			1
e. Number of independent colleges and universities in the state	30	98	17		
f. Effectiveness of the state association of independent colleges and universities	107	41			
g. Legislators' personal philosophy about state aid to independent institutions and their students	68	77	3		
h. Personalities of the presidents of the independent colleges/universities	7	102	22	10	5
i. Percent of state students enrolled in independent colleges/universities	29	108	8	1	2
j. Independent sector's provision of service to citizens of the state	40	98	7	1	2
k. Communication techniques used by the independent colleges/universities in their relationships with the Governor and state legislators	63	81			4
l. Extent to which a vote for independent higher education will help or hurt a legislator in the next election	21	87	23	7	10
m. Responsiveness of independent colleges/universities in meeting needs and requests of individual legislators for the Governor	22	102	11	3	11
n. Fiscal implications of each bill which pertains to independent higher education	60	85	2		1
o. Stature of the state's independent colleges and universities	58	87	1	1	2
p. Relationship between public higher education and independent higher education in the state	31	113	2	1	1
q. Mutual trust between state educators and elected state government officials	53	89	4		3

- II. If you actively relate to elected state government officials (specifically, the Governor and state legislators), please RANK the TOP THREE officials on whom you focus your attention during any given year.

- 70 a. The Governor
107 b. State legislators from your institution's district
28 c. Elected leadership of the state Legislature (e.g., Speaker of the House, majority leader of Senate, etc.)
91 d. State legislators who are members of a legislative committee which discusses education and/or higher education
17 e. State legislators who consistently vote in favor of independent higher education issues
14 f. Those legislators who, though not elected to formal leadership within the Legislature, are leaders by virtue of their personal influence within the Legislature
52 g. State legislators who are members of a legislative committee which discusses appropriations to higher education
12 h. Other state official(s) _____
16 i. We do not actively relate to elected state government officials

III. Please check [.] HOW OFTEN you use EACH of the approaches listed below when an issue before the state Legislature will have an impact on independent higher education (e.g., appropriations).

	Always	Occasionally	Rarely	Never
a. I express my views directly to state government officials when an issue will have an impact on <u>independent higher education</u> in the state.	45	91	12	1
b. I express my views directly to state government officials when an issue will have an impact on <u>our institution</u> .	91	47	9	1
c. I enlist the support of other members of the institution (faculty, students, Trustees) to make known <u>their views on an issue which will affect independent higher education</u> .	8	87	48	4
d. I enlist the support of other members of the institution (faculty, students, Trustees) to make known <u>their views on an issue which will affect our institution</u> .	23	87	36	2
e. I expect the staff of the state association of independent colleges and universities to know and to represent the views of the <u>independent sector</u> on the issue before the Legislature.	140	9		
f. I express my views on the particular issue to the staff of the state association and <u>expect</u> them to represent my view to state government officials.	65	65	17	1

IV. From the list below, please RANK the TOP THREE individuals/organizations which influence the positions and actions taken by your institution in public policy matters at the state level of government.

- 136 a. The executive administrators of the institution
 17 b. The faculty
 7 c. The students
 6 d. The Alumni of the institution
 100 e. The institution's Board of Trustees
 124 f. The state association of independent colleges and universities
 13 g. Church/religious leaders
 16 h. Corporate/business/civic leaders
 14 i. Legislative specialist or government liaison on the institution's staff
 4 j. Others _____
 (please specify title or position)

V. In your opinion, how IMPORTANT is each of the following selected factors in affecting the relationship of an INDIVIDUAL college or university to elected state government officials?

	Very Important	Important	Unimportant	Very Unimportant	Do Not Know
a. The independent status of the institution	56	72	13		6
b. The institution's proximity to the state Capitol	1	25	95	24	3
c. The institution's reliance on state aid to students	53	66	19	5	5
d. The institution's reliance on federal monies	20	55	52	9	7
e. The specific nature of the institution					
(1) College or university	14	67	49	9	5
(2) Church related or non-church related	15	53	57	7	7
(3) Enrollment size	13	73	42	7	4
f. People who <u>influence</u> the institution's position in public policy matters	30	85	17	2	11
g. Political literature or information read by the President	9	82	44	8	2
h. Personal relationships with the Governor or state legislators	41	89	8	6	2
i. The President's academic preparation and background	7	55	67	11	6
j. The President's personality	18	98	26	2	4
k. The President's years in office	15	76	44	8	4
l. People who <u>advise</u> the President on public policy matters	13	93	28	6	4
m. The President's previous experience as president of another college university	4	38	66	17	20
n. The President's previous <u>nonacademic</u> work experience	5	28	74	20	19
o. Forms of communication used by the President in relating to state government officials	22	93	21	3	7
p. Meetings/seminars/conferences attended by the President which address political public policy matters	7	98	29	5	9
q. Membership in the state association of independent colleges and universities	88	58	2		1

VI. When one wishes to communicate directly with the Governor and state legislators regarding the impact of pending legislation on independent higher education, there are several forms of communication which can be used. For EACH official listed, please check ☒ the ONE form of communication which you use in the MAJORITY of instances.

	Telephone Call	Personal Letter	Visit To Office	Invitation To Lunch Dinner	I Do Not Communicate Directly With This Official
a. The Governor	7	110	10		19
b. Legislator(s) from your institution's district	53	49	17	22	1
c. Key legislators related to the issue (if different from your district legislator)	15	100	13	8	8
d. Other legislators	10	98	2	4	31

VII. On occasions when you enlist the support of others to make state government officials aware of effects of an issue on your institution or on independent higher education in general, how often do you ask the following groups for support?

	Always	Occasionally	Rarely	Never
a. Administrators of the institution	42	78	24	5
b. Faculty or staff of the institution	6	68	62	13
c. Students	4	51	66	28
d. Alumni	1	73	58	15
e. Members of the institution's Board of Trustees	25	106	13	5
f. Civic/corporate/business leaders of the local community	6	77	47	19
g. Religious/church leaders	3	38	60	48

VIII. Below is a list of activities which may or may not be used by college/university presidents as part of their effort to relate to elected state government officials. Please indicate ☒ HOW OFTEN you engage in EACH ACTIVITY.

HOW OFTEN DO YOU:	Regularly	Occasionally	Rarely	Never
a. attend legislative committee meetings?	6	34	81	28
b. invite elected state government officials to				
(1) address alumni groups?		51	57	39
(2) speak to student groups/classes?	8	90	38	11
(3) give a Commencement address?	4	80	42	20
(4) address professional groups of educators?	4	62	55	26
c. provide information about your institution to elected state government officials?	48	80	21	
d. make suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education?	28	93	26	2
e. inform elected state government officials of the effects on your institution of:				
(1) existing state laws?	33	79	31	6
(2) existing state regulations?	30	85	27	6
(3) the Governor's proposed education budget?	35	73	28	13
f. sponsor a social gathering for elected state government officials?	15	57	45	31
g. extend personal favors to elected state government officials, to their families, and/or staff?		18	42	89
h. ask elected state government officials to be present at Commencements?	14	48	55	32
i. ask elected state government officials to be present at significant campus events or celebrations?	20	93	29	7
j. award an honorary degree to elected state government official(s)?		51	38	60

IX. As you attempt to maintain working relationships with the Governor and state legislators, which of the following publications provide you with helpful information? Please check as many as apply.

45	a. Publications/bulletins from the Education Commission of the States	46	g. Publications/newsletters from state legislators to constituents
41	b. <u>Change</u>	77	h. The <u>Association of Governing Board Reports</u>
131	c. <u>The Chronicle of Higher Education</u>	50	i. Publications/bulletins from state government agencies
127	d. Publications/bulletins from the state association of independent colleges and universities	65	j. CASC publications
81	e. ACE publications	11	k. Other _____ <i>Please specify title source of publication:</i>
89	f. The local newspaper	3	l. We do not actively relate to elected state government officials.

X. From the list below, please RANK the TOP THREE individuals who provide you with the most helpful advice for your relationship with elected state government officials.

- 73 a. An independent college university president from your state
 59 b. A member of the state Legislature
 38 c. The executive administrators of the institution
 22 d. A member of the Governor's staff
 4 e. A president of a publicly supported college university within your state
 132 f. The staff of the state association of independent colleges and universities
 5 g. Alumni
 36 h. A member of institution's Board of Trustees
 7 i. Corporate/business/civic leader(s)
 10 j. A member of a state government agency _____
 (please specify title and agency)
 14 k. Friends and acquaintances
 14 l. Legislative specialist or government liaison on the institution's staff
 8 m. Others _____
 (please specify title/position)
 4 n. We do not actively relate to elected state government officials.

XI. In your opinion, how EFFECTIVE is EACH of the following activities in influencing the voting patterns of elected state government officials?

	Very Effective	Effective	Ineffective	Very Ineffective	Do Not Know
HOW EFFECTIVE IS :					
a. attending legislative committee meetings?	11	69	33	3	29
b. Inviting elected state government officials to:					
(1) address alumni groups?	1	53	47	5	40
(2) speak to student groups/classes?	4	67	40	2	34
(3) give a Commencement address?	4	61	36	5	38
(4) address professional groups of educators?	4	61	39	5	34
c. providing information about your institution to elected state government officials?	28	94	11		12
d. making suggestions to state government officials regarding possible legislation to solve problems particular to independent higher education?	32	92	9		13
e. Informing elected state government officials of the effects on your institution of:					
(1) existing state laws?	31	88	13	2	13
(2) existing state regulations?	32	89	11	2	13
(3) the Governor's proposed education budget?	26	89	13	3	16
f. sponsoring a social gathering for elected state government officials?	9	65	32	3	36
g. extending personal favors to elected state government officials?	3	20	34	21	67
h. asking elected state government officials to be present at Commencements?	1	39	45	11	50
i. asking elected state government officials to be present at significant campus events or celebrations?	9	76	21	5	34
j. awarding an honorary degree to elected state government official(s)?	6	41	33	7	57

Please indicate the enrollment of your institution: ☐ under 200 ☐ 200 - 499 ☐ 500 - 999 ☐ 1,000 - 2,499 ☐ 2,500 - 4,999 ☐ 5,000 - 9,999 ☐ 10,000 - 19,999 ☐ 20,000 and above

Please indicate the approximate mileage from your institution to the capital city of your state: ☐ 1 - 50 miles ☐ 51 - 100 miles ☐ 101 - 150 miles ☐ 151 - 200 miles ☐ 200+ miles

At the present time is your institution a member of your state's association/federation/council of independent colleges and universities? ☐ YES ☐ NO

How long have you been the President of this institution?

If you were previously President of another college or university, please provide the following information:

	Location (by state)	Control (independent or public)	Tenure (in years)
Institution A			
Institution B			
Institution C			

Please indicate your academic field of concentration for each applicable degree:

Bachelor's _____ Master's _____
 Doctoral _____ Professional _____

THANK YOU for your cooperation in completing this questionnaire. If you wish a summary of the results, please complete the enclosed Request Form and return it with the questionnaire or by separate mailing. A stamped, self-addressed envelope is enclosed for return of the questionnaire.

Sister Linda Bevilacqua, O.P.
 905 Alton Street
 East Lansing, Michigan 48823

APPENDIX K

QUESTIONNAIRE RESPONDENTS

APPENDIX K

QUESTIONNAIRE RESPONDENTS (N = 149)

Illinois (N = 28)

Augustana College
Aurora College
Barat College
Bradley University
College of Saint Francis
Concordia Teachers College
De Paul University
Elmhurst College
Eureka College
Greenville College
Illinois College
Illinois Institute of Technology
Kendall College
Knox College
Lake Forest College
Lewis University
Loyola University of Chicago
Monmouth College
Mundelein College
National College of Education
North Park College
Olivet Nazarene College
Quincy College
Rockford College
Roosevelt University
Saint Xavier College
Spertus College of Judaica
Trinity Christian College

Indiana (N = 22)

Bethel College
Calumet College
Earlham College
Franklin College of Indiana
Grace College
Hanover College
Huntington College
Indiana Central University

Indiana Institute of Technology
Marian College
Marion College
Oakland City College
Saint Francis College
Saint Joseph's College
Saint Mary-of-the-Woods College
Saint Mary's College
Saint Meinrad College
Taylor University
Tri-State University
University of Evansville
University of Notre Dame
Valparaiso University

Iowa (N = 14)

Cornell College
Drake University
Graceland College
Grand View College
Grinnell College
Loras College
Luther College
Morningside College
Mount Mercy College
Saint Ambrose College
Upper Iowa University
Wartburg College
Westmar College
William Penn College

Kansas (N = 13)

Benedictine College
Bethany College
Kansas Newman College
Kansas Wesleyan College
McPherson College
Marymount College of Kansas
Mid-America Nazarene College
Ottawa University
Saint Mary College
Saint Mary of the Plains College
Southwestern College
Sterling College
Tabor College

Michigan (N = 19)

Adrian College
Albion College
Alma College
Andrews University
Aquinas College
Calvin College
Center for Creative Studies
Concordia College
Detroit Institute of Technology
Hope College
Kalamazoo College
Madonna College
Marygrove College
Mercy College of Detroit
Nazareth College
Northwood Institute
Olivet College
Siena Heights College
Spring Arbor College

Minnesota (N = 14)

Augsburg College
Bethel College
Carleton College
College of Saint Benedict
College of Saint Scholastica
College of Saint Teresa
Concordia College at Moorhead
Concordia College--Saint Paul
Gustavus Adolphus College
Hamline University
Macalester College
Northwestern College
Saint John's University
Saint Mary's College

Missouri (N = 13)

Central Methodist College
Culver-Stockton College
Evangel College
Fontbonne College
Hannibal-La Grange
Missouri Valley College
Park College

Rockhurst College
 Saint Louis University
 Southwest Baptist College
 Stephens College
 Tarkio College
 William Woods College

Nebraska (N = 6)

Concordia Teachers College
 Doane College
 Hastings College
 Midland Lutheran College
 Nebraska Wesleyan University
 Union College

North Dakota (N = 1)^a

South Dakota (N = 5)

Augustana College
 Huron College
 Mount Marty College
 Sioux Falls College
 Yankton College

Wisconsin (N = 14)

Alverno College
 Cardinal Stritch College
 Carroll College
 Carthage College
 Edgewood College
 Lakeland College
 Marion College of Fond Du Lac
 Marquette University
 Milton College
 Mount Senario College
 Northland College
 Ripon College
 Silver Lake College
 Viterbo College

^a Name of responding institution omitted to protect anonymity and confidentiality of responses.

APPENDIX L

FREQUENCIES OF STUDY POPULATION AND RESPONDENT POPULATION BY STATE

APPENDIX L

FREQUENCIES OF STUDY POPULATION AND RESPONDENT POPULATION BY STATE

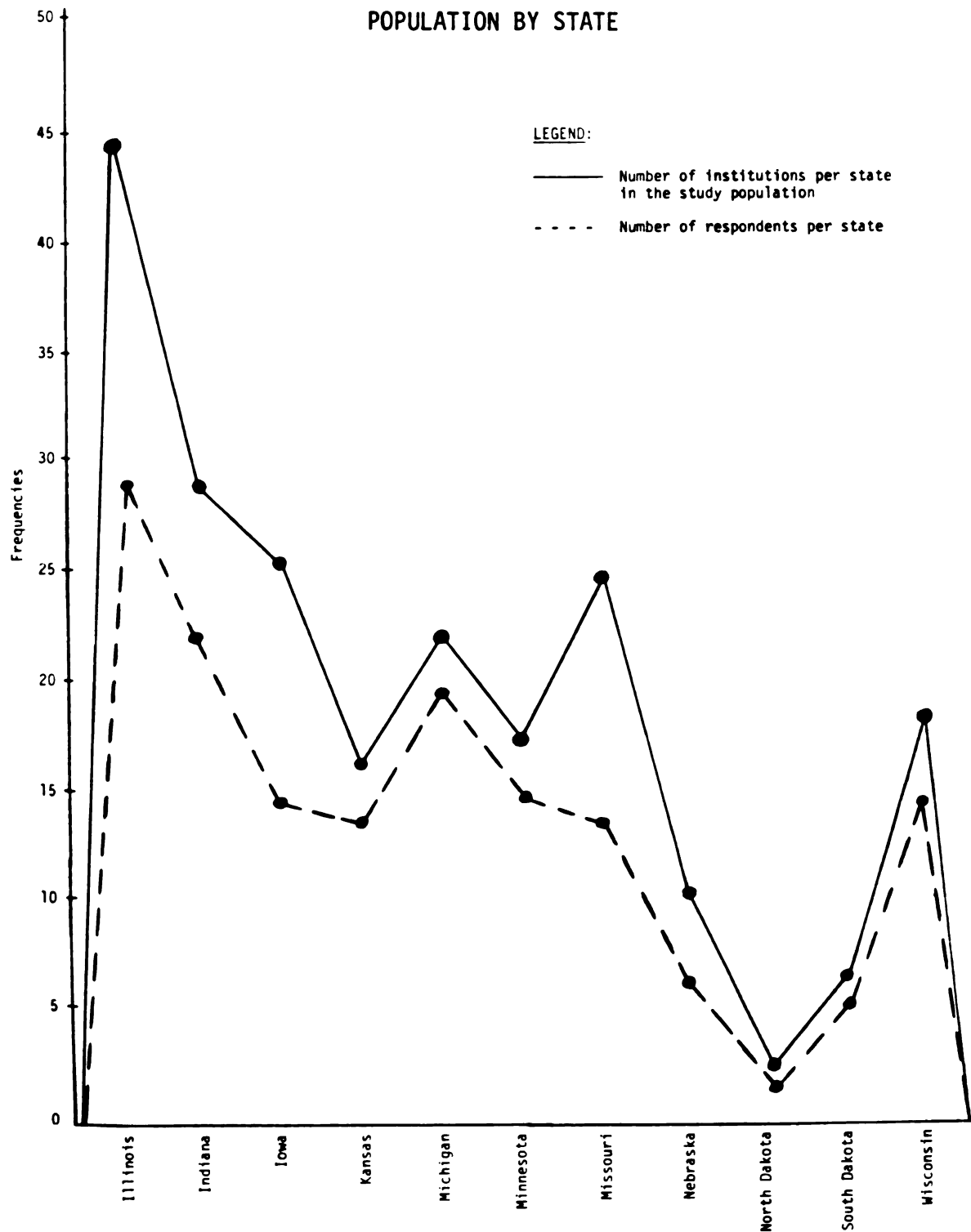
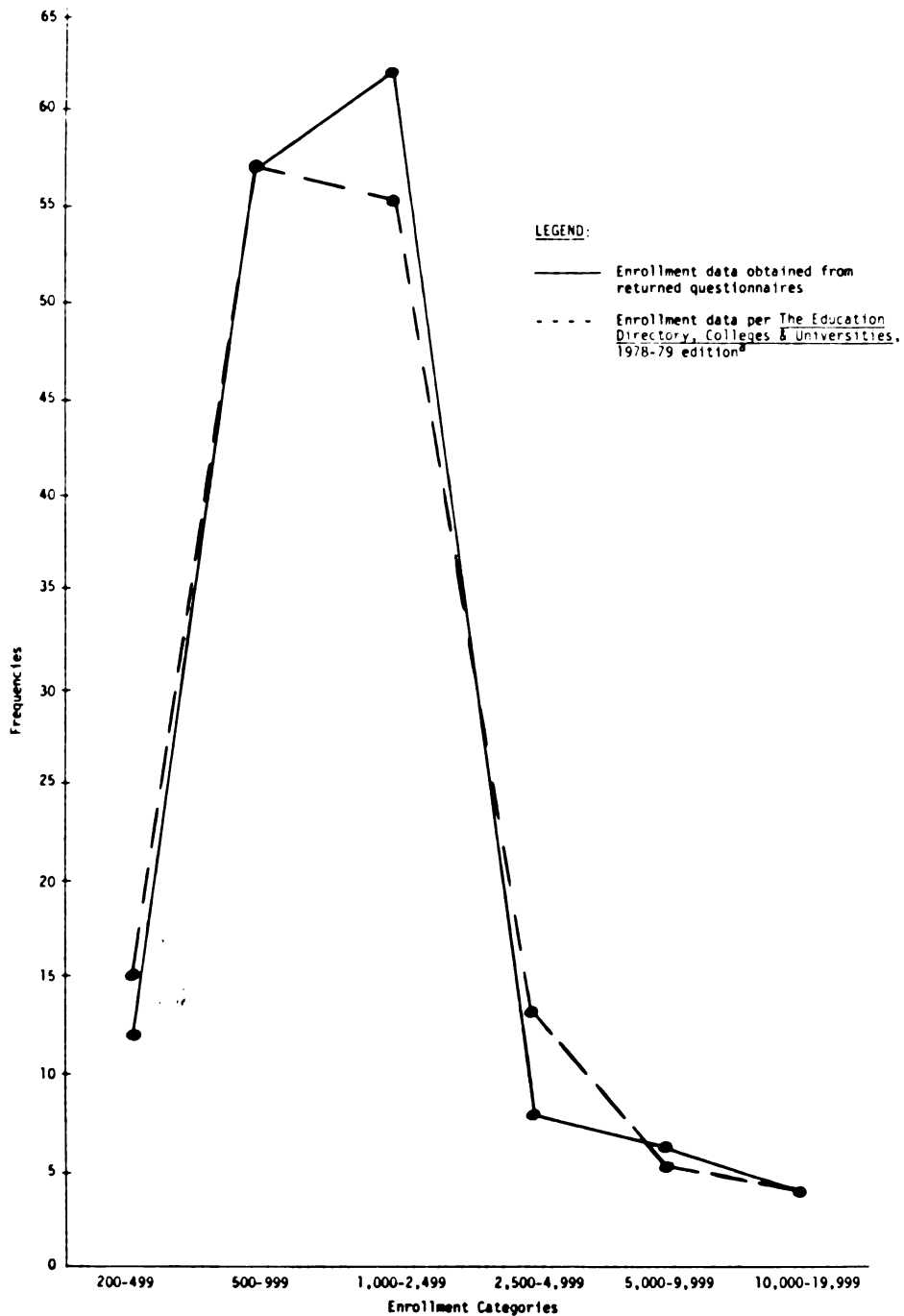


Figure L-1.--Frequencies of study population and respondent population by state.

APPENDIX M

FREQUENCIES OF RESPONDENT POPULATION BY
ENROLLMENT CATEGORIES

APPENDIX M FREQUENCIES OF RESPONDENT POPULATION BY ENROLLMENT CATEGORIES



*Enrollment data for The Education Directory, 1978-79 edition (the most current issue at the time of this research study) represented the Fall 1977 enrollment of colleges and universities.

Figure M-1.--Frequencies of respondent population by enrollment categories.

APPENDIX N

RELATIONSHIP OF HYPOTHESES TO RESEARCH QUESTIONS AND QUESTIONNAIRE QUESTIONS

APPENDIX N

RELATIONSHIP OF HYPOTHESES TO RESEARCH QUESTIONS AND QUESTIONNAIRE QUESTIONS

<u>Hypothesis (es)</u>	<u>Questionnaire Question</u>
H0 ₁ , H0 ₂	I
H0 ₃ , H0 ₄	V
H0 ₅ , H0 ₆	VIII
H0 ₇ , H0 ₈	IX
H0 ₉	VII
H0 ₁₀	VI

APPENDIX 0

INTERVIEWEES

APPENDIX O

INTERVIEWEES

The presidents of the following 17 Michigan independent colleges and universities took part in the study's interviews:

Adrian College
Alma College
Andrews University
Aquinas College
Calvin College
Center for Creative Studies
Concordia College
Detroit Institute of Technology
Hope College
Kalamazoo College
Madonna College
Marygrove College
Mercy College of Detroit
Northwood Institute
Olivet College
Siena Heights College
Spring Arbor College

REFERENCES

REFERENCES

- Adrian, C. R. Governing our fifty states and their communities. New York: McGraw-Hill, 1963.
- Aronofsky, D. J. A history of legislative influence on the state university system of Florida, 1961-1974 with special reference to Republican legislators. Unpublished doctoral dissertation, The Florida State University, 1975.
- Ary, D., Jacobs, L. C., & Razaviek, A. Introduction to research in education. New York: Holt, Rinehart, & Winston, 1972.
- Astin, A. W., & Lee, C. B. The invisible colleges. New York: McGraw-Hill, 1972.
- Average private-college tuition hits \$3,279, up 10 pct. in year. The Chronicle of Higher Education, July 21, 1980, p. 1.
- Babbie, E. R. Survey research methods. Belmont, California: Wadsworth Publishing Company, 1973.
- Bailey, S. K. Education and the state. Educational Record, 1974, 55, 5-12.
- Benezet, L. T. Private higher education and public funding (ERIC/Higher Education Research Report No. 5). Washington, D.C.: American Association for Higher Education, 1976.
- Benezet, L. T. Private higher education: What price diversity? Educational Record, 1977, 58, 201-217.
- Bennis, W. Managing the unmanageable. The Chronicle of Higher Education, September 22, 1975, p. 20.
- Berdahl, R. O. Statewide coordination of higher education. Washington, D.C.: American Council on Education, 1971.
- Berdahl, R. O. The politics of state aid. In D. W. Breneman & C. E. Finn, Jr. (Eds.), Public policy and private higher education. Washington, D.C.: The Brookings Institution, 1978.
- Black, T. M. The political role of educators. Educational Leadership, 1976, 34, 122-125.

- Blount, C. W. Practicing the art of legislative diplomacy. Compact, 1976, 10, 2-3.
- Borgestad, J. T. The politics of higher education: A case study of the communication between the University of Minnesota and the 1975 Minnesota State Legislature. Unpublished doctoral dissertation, The University of Minnesota, 1976.
- Bowen, H. R. Does private education have a future? Liberal Education, 1971, 57, 278-289.
- Breneman, D. W., & Finn, C. E., Jr. (Eds.). Public policy and private higher education. Washington, D.C.: The Brookings Institution, 1978.
- Budig, G. A. Gubernatorial opinion of higher education. Educational Record, 1977, 58, 373-377.
- Budig, G. A., & Rives, S. G. Academic quicksand. Lincoln, Nebraska: Professional Educators Publications, Inc., 1973.
- Busta, J. F., Jr. Communication between legislators and university administrators: An analysis of perceptions on selected issues. Unpublished doctoral dissertation, The University of Florida, 1978.
- Carnegie Commission on Higher Education. Higher education and the nation's health: Policies for medical and dental education. New York: McGraw-Hill, 1970.
- Carnegie Commission on Higher Education. The capitol and the campus. New York: McGraw-Hill, 1971.
- Carnegie Commission on Higher Education. Higher education: Who pays? Who benefits? Who should pay? New York: McGraw-Hill, 1973.
- Carnegie Commission on Higher Education. Three thousand futures: The next 20 years for higher education. San Francisco: Jossey-Bass, in press.
- Carnegie Council on Policy Studies in Higher Education. The states and private higher education. San Francisco: Jossey-Bass, 1977.
- Carnegie Foundation for the Advancement of Teaching. More than survival: Prospects for higher education in a period of uncertainty. San Francisco: Jossey-Bass, 1975.
- Carnegie Foundation for the Advancement of Teaching. The states and higher education. San Francisco: Jossey-Bass, 1976.

- Carswell, W. M., Jr. The college president's political role with state legislators. Unpublished doctoral dissertation, University of Missouri, 1978.
- Cartter, A. M. Private institutions in peril. In W. L. Godwin & P. B. Mann (Eds.), Higher education: Myths, realities and possibilities. Atlanta: SREB, 1972.
- Cheit, E. F. The new depression in higher education. New York: McGraw-Hill, 1971.
- Coons, A. G. How should the president of a college divide his time among his various duties? In E. J. McGrath (Ed.), Selected issues in college administration. New York: Teachers College Press, Columbia University, 1967.
- Corrick, D. G. Perceptions of the mission of the community colleges in the state of Washington by faculty, administrators, trustees, legislators and students. Unpublished doctoral dissertation, Washington State University, 1975.
- Danatha, Sister M. Personal communication, April 8, 1980.
- Davies, J. Legislative law and process. St. Paul: West Publishing Company, 1975.
- De Pree, K. R. Michigan public school superintendents and the state legislature: An analysis of the superintendents' understanding of, and participation in, the legislative policy making process. Unpublished doctoral dissertation, Michigan State University, 1971.
- De Vries, W. D. The Michigan lobbyist: A study of the bases and perceptions of effectiveness. Unpublished doctoral dissertation, Michigan State University, 1960.
- Dodds, H. W. The academic president--Educator or caretaker? New York: McGraw-Hill, 1962.
- Dunkin, O. J. The school superintendent's political role with state legislators representing the local district. Unpublished doctoral dissertation, Iowa State University, 1974.
- Ebel, R. L. Essentials of educational measurement. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972.
- Edwards, E. The future of higher education. Compact, 1978, 12, 12-13.
- The efficiency of freedom (Report of the Committee on Government and Higher Education). Baltimore: The Johns Hopkins Press, 1959.

- Erwin, C. A., Jr. Beliefs held by 1973 North Carolina legislators regarding selected micro concepts germane to the North Carolina community college system. Unpublished doctoral dissertation, North Carolina State University at Raleigh, 1975.
- Eulau, H., & Quinley, H. Prospects and problems; and Planning and the future. In State officials and higher education: Survey of the opinions and expectations of policy makers in nine states. New York: McGraw-Hill, 1970.
- Fact-File. Spending by states and territories for student aid in 1979-80 totals \$852-million. The Chronicle of Higher Education, November 5, 1979, p. 11.
- Fadil, V. A., & Carter, N. A. Openings, closings, mergers and accreditation status of independent colleges and universities, winter 1970 through summer 1979. Washington, D.C.: National Institute of Independent Colleges and Universities, 1980.
- Finn, C. E., Jr. Scholars, dollars, and bureaucrats. Washington, D.C.: The Brookings Institution, 1978.
- Finney, R. J., Jr. Patterns of private support of American higher education. In L. C. Vaccaro & G. L. Schilck (Eds.), Reshaping American higher education. Irving, Texas: A.M.I. Press, 1975.
- Fisher, J. L. Where are we heading? In L. T. Benezet & F. W. Magnusson (Eds.), Building bridges to the public (No. 27 in New Directions for Higher Education series). San Francisco: Jossey-Bass, 1979.
- Folger, J. K. Building public support for private higher education. Compact, 1976, 10, 5-9.
- Folger, J. K. The governor's role in education. Compact, 1979, 13, 30-31.
- Furman, J. M. Points to governor as key to higher education support (Bulletin of FIICU). Evanston, Illinois: Federation of Independent Illinois Colleges and Universities, June 1978.
- Gaffney, J. L. Luncheon address before the 21st National Institute of the Council for the Advancement of Small Colleges. Washington, D.C., June 16, 1976.
- Gaffney, J. L. Personal communication, March 11, 1980. (a)
- Gaffney, J. L. Personal communication, June 9, 1980. (b)
- Gladieux, L. E. Education lobbies come into their own. Change, 1977, 9, 42-43.

- Gladieux, L. E. Appraising the influence of the educational lobbies: The case of higher education. In E. K. Mosher & J. L. Wagoner (Eds.), The changing politics of education. Berkeley: McCutchan Publishing Corporation, 1978.
- Glasser, H. An analysis of differences of opinion among legislators, college professors, and business teachers regarding business teacher preparation. Unpublished doctoral dissertation, University of Southern California, 1968.
- Godwin, W. E., & Mann, P. B. (Eds.). Higher education, myths, realities and possibilities. Atlanta: Southern Regional Educational Board, 1972.
- Goodall, L. E., Holderman, J. B., & Nowlan, J. D. Legislature and university: The uneasy partnership. Educational Record, 1971, 52, 36-40.
- Gove, S. K., & Carpenter, J. State lobbying for higher education. Educational Record, 1977, 58, 357-372.
- Greenwald, C. S. Group power lobbying and public policy. New York: Praeger Publishers, 1977.
- Halperin, S. Politicians and educators: Two world views. Phi Delta Kappan, 1974, 56, 189-190.
- Hartford, D. B. Factors influencing legislators' votes on a change of institutional name from college to university. Unpublished doctoral dissertation, University of Northern Colorado, 1976.
- Harvey, T. R., & Stewart, C. T. Strategies for significant survival (No. 12 in New Directions for Higher Education Series). San Francisco: Jossey-Bass, Winter 1975.
- Hazard, J. D. The political feasibility of the major theoretical sources of financial support for the operating expenditures of Michigan community colleges as perceived by selected states legislators. Unpublished doctoral dissertation, The University of Michigan, 1969.
- Hemphill, J. K., & Walberg, H. J. College and university presidents. Ithaca, New York: New York State Regents Advisory Committee on Educational Leadership, 1967.
- Hodgkinson, H. L. Education in 1985: A future history. Educational Record, 1979, 60, 129-136.
- Hollander, T. E. The view from the state capital. Change, 1978, 10, 43-46.

- Howard, A. E. D. State aid to private higher education. Charlottesville, Virginia: The Michie Company, 1977.
- Howe, H. II. What future for the private college? Change, 1979, 11, 28-31; 70.
- Howe, R. W., & Trott, S. H. The power peddlers. Garden City, New York: Doubleday, 1977.
- In brief. The Chronicle of Higher Education, September 2, 1980, p. 10.
- Jellema, W. From red to black?: The financial status of private colleges and universities. San Francisco: Jossey-Bass, 1973.
- Jencks, C., & Riesman, D. The academic revolution. Garden City, New York: Doubleday, 1968.
- Jenny, H. H. Higher education and the economy (ERIC/Higher Education Research Report No. 2). Washington, D.C.: American Association for Higher Education, 1976.
- Jenny, H. H., & Wynn, G. R. The golden years, A study of income and expenditure growth and distribution of 48 private four-year liberal arts colleges, 1960-1968. Wooster, Ohio: The College of Wooster, 1970.
- Jonsen, R. W. State policy issues affecting independent higher education (Research Report). Washington, D.C.: National Institute of Independent Colleges and Universities, 1980.
- Kauffman, J. F. The selection of college and university presidents. Washington, D.C.: Association of American Colleges, 1974.
- Kerr, C. Key issues for higher education in the 1980s. In L. W. Jones & F. A. Nowotny (Eds.), Preparing for the new decade (No. 28 in New Directions for Higher Education Series). San Francisco: Jossey-Bass, 1979.
- Kimbrough, R. B. Political power and educational decision-making. Chicago: Rand McNally, 1964.
- King, D. B. Private college financing. Educational Record, 1975, 56, 96-99.
- Kirk, R. E. Experimental design: Procedures for the behavioral sciences. Belmont, California: Brooks/Cole Publishing Company, 1968.
- Kish, L. Survey sampling. New York: John Wiley & Sons, 1965.

- Klebanoff, H. M. Let's get legislators and educators on the same team for a change. Compact, 1976, 10, 10-12.
- Lantz, G. B., Jr. Financial aid and the future of private colleges. Liberal Education, 1975, 61, 385-398.
- Leifman, S. Personal communication, September 9, 1980.
- Levitt, M. J., & Feldbaum, E. G. State and local government and politics. Hinsdale, Illinois: Dryden Press, 1973.
- Lockard, D. The politics of state and local government. New York: Macmillan, 1966.
- Lott, W. A. A study of quality indicators in undergraduate public education as viewed by members of the New York state legislature, board of regents, and state university trustees. Unpublished doctoral dissertation, State University of New York at Albany, 1975.
- Lowery, L. R. A study of the search process of the Education Committee of the California state legislature. Unpublished doctoral dissertation, University of California at Berkeley, 1966.
- Lyman, R. W. In defense of the private sector. Daedalus, 1975, 104, 156-157.
- McNamara, W. The Institute for Educational Leadership, Change, 1975, 7, 44-45.
- Maeroff, G. I. Private vs. public colleges. Saturday Review, May 13, 1978, pp. 18-19.
- Magarrell, J. The 1980's: Higher education's 'not-me' decade. The Chronicle of Higher Education, January 7, 1980, pp. 6-7; 9 (a).
- Magarrell, J. Colleges face stiffer fight for state appropriations. The Chronicle of Higher Education, April 21, 1980, p. 8. (b)
- Magarrell, J. Two hundred small colleges could close in the 1980's, U.S. report says. The Chronicle of Higher Education, June 9, 1980, pp. 1; 8. (c)
- Milbrath, L. W. Lobbying as a communication process. Public Opinion Quarterly, Spring 1960, pp. 32-53.
- Millett, J. D. Politics and higher education. University, Alabama: University of Alabama Press, 1974.
- Millett, J. D. Higher education and the 1980s. Washington, D.C.: Academy for Educational Development, 1978.

- Minter, W. J., & Bowen, H. R. Independent higher education (Fifth Annual Report). Washington, D.C.: National Institute of Independent Colleges and Universities, 1980.
- Morford, T. R. Present funding patterns of community/junior colleges and future funding patterns as anticipated by key state legislators and state directors. Unpublished doctoral dissertation, The Florida State University, 1975.
- Moser, S. C., & Kalton, G. Survey methods in social investigation. New York: Basic Books, 1972.
- Muller, S. The purposes of the independent institution. Educational Record, 1975, 56, 145-148.
- Muller, S. Foreword. In A. E. D. Howard, State aid to private higher education. Charlottesville, Virginia: The Michie Company, 1977.
- Murray, M. A. Defining the higher education lobby. Journal of Higher Education, 1976, 47, 79-92.
- National Association of Independent Colleges and Universities general information brochure. Washington, D.C.: NAICU/NIICU, 1980.
- National Association of State Scholarship and Grant Programs (11th Annual Survey). Deerfield, Illinois: Illinois State Scholarship Commission, 1979-80.
- A national policy for private higher education (A report of a task force of the National Council of Independent Colleges and Universities). Washington, D.C.: Association of American Colleges, 1974.
- Ness, P. F. Forces and techniques which influence educational legislation in Colorado. Unpublished doctoral dissertation, Colorado State College, 1966.
- Nie, N. H. et al. Statistical package for the social sciences (2nd ed.). New York: McGraw-Hill, 1975.
- Niess, C. F. A study of some forces which tend to influence state legislators in decisions on educational legislation. Unpublished doctoral dissertation, Colorado State College, 1962.
- Norwick, K. P. Lobbying for freedom. New York: St. Martin's Press, 1975.
- Nowlan, J. D. The politics of higher education (Lawmakers and the Academy in Illinois). Urbana, Illinois: University of Illinois Press, 1976.

- Olliver, J. Report on state legislative activity, 1979 session. Raleigh, North Carolina: State National Information Network, 1979.
- Olliver, J. Personal communication, July 15, 1980.
- Oppenheim, A. N. Questionnaire design and attitude measurement. New York: Basic Books, Inc., Publishers, 1966.
- Private colleges cry "Help!" Time, January 15, 1979, pp. 38-40.
- Pyke, D. A. Private colleges headed for extinction. USA Today, 1979, 107, 8.
- Rosenthal, A. The emerging legislative role in education. Compact, May/June 1974, 2-4.
- Rudolph, F. The American college and university. New York: Vintage Books, 1962.
- Sabin, A. B. Challenges to universities through year 2000. Educational Record, 1974, 55, 200-203.
- Saffell, D. C. State and local government: Politics and public policies. Reading, Massachusetts: Addison-Wesley, 1978.
- Sargent, H. R. The enigmatic future of higher education. Intellect, 1978, 106, 466-469.
- Sawhill, J. C. A question of ethics. Newsweek, October 29, 1979, p. 27.
- Schlafmann, N. J. An examination of the influence of the state legislature on the educational policies of the constitutionally incorporated colleges and universities of Michigan through enactment of public acts from 1851 through 1970. Unpublished doctoral dissertation, Michigan State University, 1970.
- Sheehy, T. E. An examination of the office of the president/chancellor concerning the relationship between chief administrators of the big eight and big ten state-supported universities and executive and legislative leaders in state government. Unpublished doctoral dissertation, University of Nebraska, 1972.
- Shulman, C. H. Private colleges: Present conditions and future prospects (ERIC/Higher Education Research Report No. 9). Washington, D.C.: American Association for Higher Education, 1974.
- Silber, J. R. Paying the bill for college: The "private" sector and the public interest. Atlantic, May 1975, pp. 33-40.

- Silber, J. R. Financing the independent sector. In D. W. Vermilye (Ed.), Individualizing the system. San Francisco: Jossey-Bass, 1976.
- Simmons, C. E. P. Private colleges, to the barricades! Liberal Education, 1975, 61, 447-454.
- Smith, D. In your own interest. Seattle: Madrona Publishers, Inc., 1979.
- Stoke, H. W. The American college president. New York: Harper & Brothers, 1959.
- Sullivan, J. Bethink you that you may be mistaken. In Private higher education: The job ahead. Proceedings of the American Association of Presidents of Independent Colleges and Universities 1977 Annual Meeting, 1978, 6, 30-34.
- U.S. colleges' life and death struggle. U.S. News & World Report, May 29, 1978, pp. 64-66.
- U.S. National Center for Education Statistics. Education directory colleges & universities 1978-79 edition. Washington, D.C.: U.S. Government Printing Office, 1979.
- Vann, J. E. North Carolina legislators' perception of the North Carolina community college system. Unpublished doctoral dissertation, North Carolina State University at Raleigh, 1970.
- Vasconcellos, J. Let's do something about distrust between educators and politicians. Compact, 1974, 11, 2-4.
- Watkins, L. I. A "beginner's guide" to state-level lobbying. Liberal Education, 1972, 58, 520-523.
- White, L. E. A study of Alabama legislators' perception of the Auburn University Cooperative Extension Service. Unpublished doctoral dissertation, North Carolina State University at Raleigh, 1970.
- Wiersma, W. Research methods in education (2nd ed.). Itasca, Illinois: F. E. Peacock Publishers, Inc., 1975.