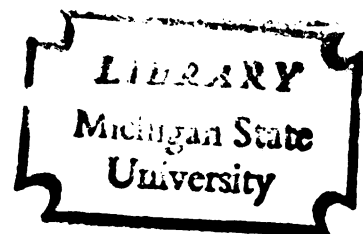


ANNUAL REPORTING PRACTICES OF THE ACADEMIC DEANS  
AND DEPARTMENT HEADS AT THE RIO PIEDRAS  
CAMPUS OF THE UNIVERSITY OF PUERTO RICO

THESIS FOR THE DEGREE OF  
DOCTOR OF EDUCATION  
MICHIGAN STATE UNIVERSITY  
LUIS ORTEGA NIEVES

1966



This is to certify that the

thesis entitled

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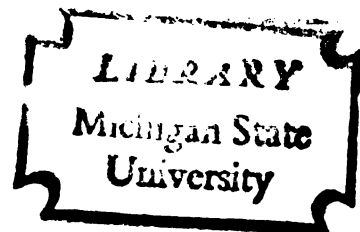
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Edward B. Blackman  
Major professor

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## ABSTRACT

### ANNUAL REPORTING PRACTICES OF THE ACADEMIC DEANS AND DEPARTMENT HEADS AT THE RIO PIEDRAS CAMPUS OF THE UNIVERSITY OF PUERTO RICO

by Luis Ortega Nieves

The information produced by people close to the operating level ("technical system") has played a significant role in improving the quality of administrative practices in business and government organizations. Such information is usually contained in annual administrative reports. The reasons are obvious. Executives will add to their administrative abilities, if they know, for a certain period of time, what they have done, how they have progressed, and what are the most significant deficiencies and problems.

The top administration of the University of Puerto Rico is not satisfied with the present operation of the administrative annual reporting system of the institution. Hence, this study confronts the following problem: How annual reporting practices of the academic deans and department heads within the Río Piedras Campus can be made to serve best in the solution of the most important problems confronted by educational administrators.

A management survey was the principal technique used in this study. The investigative procedure consists of two parts. First, a review of reporting principles and techniques, and a comparison of administrative aspects in higher education, government, and business. Secondly, an analysis of the annual reporting practices of the academic deans and department heads within the Río Piedras Campus as well as the action taken by the recipients.

The sources of information used in the investigation include the following: a) the university law and regulations, b) policies and written instructions concerning the reporting process, c) departmental and annual college reports, and materials used in their preparation, and d) progress reports submitted by the President of the University to the Council of Higher Education of the Institution. In addition, a series of interviews were conducted to find out more about the present reporting practices. (A sample of the questions used is shown in Appendix A.) The interviewees were the deans of the various colleges of the Río Piedras Campus (with the exception of the Dean of the College of Law), two department heads from each college, the acting Chancellor of the Río Piedras Campus, the Executive Assistant to the President, the Head of the Computer Division, the Director of the Office of Academic Statistics, and thirty faculty members of different faculties.

The results of the first phase of this study revealed that university administrators, as well as business and government administrators, are very much concerned with three major administrative policies: 1) choice of fields, 2) selection of "competitive level," and 3) determination of the rate of expansion. In dealing with the above three policies, top university administrators, as well as their counterparts in business and government, have relied on information produced by people more directly involved in the technical processes of the organization.

The second phase of the study revealed that present annual reporting practices at the Río Piedras Campus are not satisfying the most important needs of educational administrators. That is to say, that the present annual reporting system has become an end in itself.

In order to increase the effectiveness of annual reporting at the Río Piedras Campus, changes must be made concerning the reporting structure, its content, the organization and method for evaluation, and the relation of the process to other information processes of the institution. Some of the changes recommended are as follows:

The annual reporting process should begin with a consideration by all interested parties of university policies and directives which are going to be in operation during the reporting period. This action presupposes that

communication of policies and directives through all levels of the organization has been adequately accomplished.

The reporting structure should include the preparation of the following over-all annual reports: 1) the annual report of the chancellor of each campus, 2) the annual report of the President of the University, and 3) the report of the Council on Higher Education.

In increasing the significance and understanding of annual reports at the Río Piedras Campus, the emphasis on the report's content has to be changed from a mere listing of items and events (isolated facts) to the description and explanation of problems, changes, and trends, including proposals or alternative solutions in specific cases. On the other hand, it should be recognized that the examination or evaluation of reports is a full-time job requiring specialized training or experience in the management of data.

It has been implied from this study that the right top-management approach to report improvement in higher education should be a fundamental attack on the whole management report problem. In order to do this, three things are necessary.

First, understand the purposes of the institution. Then, have a clear picture of its organizational structure, including some knowledge of the degree of participation of every unit in the planning and control of the basic insti-

tutional policies. This knowledge is necessary in order to know (1) what should the specific purposes of the reporting system be; (2) what performance standards should be required; (3) what should the flow of reports within the organization be; (4) what different kinds of reports should be produced; and (5) where should the emphases on the report's content be.

Finally, there is the establishment of organized procedures for the evaluation of reports. This involves analysis, synthesis, and dissemination of information in accord with the reporting established objectives.

ANNUAL REPORTING PRACTICES OF THE ACADEMIC DEANS  
AND DEPARTMENT HEADS AT THE RIO PIEDRAS  
CAMPUS OF THE UNIVERSITY OF PUERTO RICO

By

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## CHAPTER I

### INTRODUCTION

#### THE SETTING:

The University of Puerto Rico is a land-grant state institution composed of three campuses and a community college which is operated as a university branch. The Río Piedras Campus, located in the Metropolitan Area, comprises the colleges of General Studies, Social Sciences, Humanities, Natural Sciences, Education, Business Administration, Pharmacy, Law, and the Graduate Schools of Education, Public Administration, Social Work, and Liberal Arts.

The Campus of Mayaguez, located on the western coast of the island, includes the Faculties of Engineering, Agriculture, Arts and Sciences, and the Graduate Schools in those areas.

The San Juan Campus, located in the capital city of San Juan comprises the Schools of Medicine, Tropical Medicine, Dentistry, and Public Health.

The Community College located in the city of Humacao, offers the first two years of a liberal arts program.

As a land-grant state institution, the University of Puerto Rico operates an Agricultural Experiment Station and an Agricultural Extension Service.



## STATEMENT OF THE PROBLEM AND PURPOSES OF THE STUDY:

The University of Puerto Rico has become a complex institution. By virtue of its high and increasing enrollment, its multiple offerings, and its geographical dispersion, the administration of the University of Puerto Rico presents many problems and difficulties.

As a multiple-campus university, the institution faces the problem of achieving greater unification and at the same time decentralization. There is also the problem of how to achieve greater unification without suppressing initiative and creativity.

Catheryn Seckler-Hudson states that

if the executive in a large and complex organization operates at optimum level and speed, he will need (a) to delegate as much work and responsibility as possible to his subordinates, always of course in terms of their capacities and the environment in which he works....<sup>1</sup>

The situation described by Hudson is similar to the one at the University of Puerto Rico. The Board of Trustees, the President and the three campus chancellors have delegated an extensive authority to deans, department heads and other members of the organization. But, and this is the point to be emphasized, delegation of authority is not synonymous with abdication nor does it mean fewer obligations on the part of top management with regard to subordinates. In sound administration a legislative body or a

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<sup>1</sup>Catheryn Seckler-Hudson, Organization and Management: Theory and Practice (Washington, D.C.: The American University Press: 1957), p. 87.

top executive cannot delegate authority to a subordinate and then forget all about it. Delegation of authority should generate a continuous downward flow of valuable information, adequately selected and processed, to meet the needs of the recipients. In order to strengthen its ability for decision-making, control and evaluation, top management needs to receive pertinent information from lower levels in the organization. Catheryn Seckler-Hudson sums it up in the following statement:

At whatever point work is divided and delegated, the process of reporting begins. At whatever point policy is formulated or modified the process of reporting is imperative.<sup>2</sup>

The top administration of the University of Puerto Rico is not satisfied with the present operation of the administrative reporting system of the institution in any of its campuses. Hence this study confronts the following problem: How annual administrative reporting (academic programs) at the Río Piedras Campus can be made to serve best in the solution of the most important problems confronted by educational administrators at all levels of the organizational hierarchy. Since a complete study of the reporting system of the University of Puerto Rico could be a major task to be conducted out by experts, the purposes of this study are limited to the following:

1. To conduct a critical examination of the Annual Reports of the colleges at the Río Piedras Campus

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<sup>2</sup>Ibid., p. 218.

of the University of Puerto Rico. This examination is to include also the uses given to these reports at the different levels of management.

2. To explore the possibilities of using the services of the electronic data processing center of the Río Piedras Campus to strengthen the reporting practices under examination.

Specifically, this study seeks to answer the following questions:

1. Can the criteria used in the evaluation of reporting systems in business enterprises and government agencies be applied in the evaluation of reporting system in higher education?
2. To what extent are the Annual Reports of the Colleges at the Río Piedras Campus of the University of Puerto Rico facilitating the processes of decision-making, control, and evaluation at all management levels? What are the most important causes for the failure of this reporting system to serve as a tool to facilitate these management processes?
3. What specific techniques and methods highly recommended for the strengthening of management reports in business enterprises and government agencies could be used in the improvement of the annual reporting structure of the Río Piedras Campus?



4. In what way can the reporting structure under study profit by an effective use of the services offered by the computer center on the campus?
5. Can a fundamental approach to the development of a management report structure in higher education be developed?

#### IMPORTANCE OF THE STUDY

The writings on administrative reporting in colleges and universities are limited to the financial and budgetary annual reports. The authors reviewed seem to agree on the importance of survey and research in this area. As Professor A. J. Brumbaugh states:

Basic to studies in all areas, but especially in administration, are records and other sources of information. A high priority might be given to a study of records and reports for the purpose of determining their adequacy, their completeness, as well as the form in which they are kept. In a large institution, this will be a major project; in a small one it will be relatively simple.<sup>3</sup>

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<sup>3</sup>A. J. Brumbaugh, Research designed to Improve Institutions of Higher Learning (Washington, D.C.: American Council on Education, 1960), p. 19.

## CHAPTER II

### INVESTIGATIVE PROCEDURE AND ORGANIZATION OF THE THESIS

#### Investigative Procedure

This thesis is primarily concerned with the annual reporting system presently in operation at the Río Piedras Campus of the University of Puerto Rico.

A management survey was the principal investigative technique used in this study. As Catheryn Seckler Hudson states:

A management survey is a systematic examination and analysis of one or more related organizations, functions, and or procedures. It is initiated for the purpose of identifying problems, determining their causes and developing solutions.<sup>4</sup>

The investigative procedure consists of two phases. The first phase --a review of the literature and a critical comparison of various organizational structures-- consists of the following steps:

1. A review of theoretical and practical aspects of management in particular as they apply to the executive reporting process in business enterprises and government agencies. Specifically,

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<sup>4</sup>Catheryn Seckler Hudson, op. cit., p. 196.

this involves a research into the principles of administration underlying reporting.

Furthermore, it includes the identification of techniques and methods of reporting which have been successfully applied in the organizations above, or which have been highly recommended by experts in the field.

2. A review of annual reporting practices and the electronic data processing procedures used in selected large American universities.
3. A critical examination of some aspects of administration in higher education, business, and government in order to identify possible differences and similarities between these social systems.

The second phase of the investigation includes the following: First, a critical review of the organization and administration of the University of Puerto Rico. Second, an analysis of the annual reporting practices of the academic deans and department heads within the Río Piedras campus as well as the action taken by the recipients. In this case, the recipients are the office of the university President and the office of the acting chancellor of the Río Piedras Campus.

The sources of information used in this phase of the investigation were as follows:

(a) the university law and regulations, (b) policies and written instructions concerning the reporting process, (c) departmental and college annual reports, and materials used in their preparation, and (d) progress reports submitted by the President of the University to the Council of Higher Education of the Institution. In addition, a series of interviews were conducted to find out more about the present reporting practices. (A sample of the questions used is shown in Appendix I). The interviewees were the deans of the various colleges of the Río Piedras campus (with the exception of the Dean of the College of Law), two department heads from each college, the acting Chancellor of the Río Piedras campus, the Executive Assistant to the President, the Head of the Computer Division, the Director of the Office of Academic Statistics, and thirty faculty members of different faculties.

### Organization of the Thesis

The study is divided into eight chapters, an appendix, and a bibliography. The first chapter introduces the specific problem to be investigated. In chapter II various steps included in the investigative procedure are enumerated. The results of the different steps of the research procedure are shown in the remaining chapters, as follows:

Chapter III contains a description of reporting principles and techniques currently applied or recommended for application in business and government organizations.

Chapter IV shows reporting practices and data processing operations in selected american universities.

Similarities and differences between higher education institutions in the United States, and business and government organizations are shown in chapter V.

Organizational and administrative problems of the University of Puerto Rico --relevant to the problem under investigation-- are exposed in chapter VI.

Chapter VII describes the annual (academic) reporting practices of the Río Piedras Campus-University of Puerto Rico.

Chapter VIII contains a resume, conclusions and specific recommendations for the University of Puerto Rico, and general suggestions for the improvement of annual reporting practices in colleges and universities in the United States.

## CHAPTER III

### REPORTING AS A MANAGEMENT TOOL FOR DECISION-MAKING, CONTROL, AND EVALUATION

#### DECISION-MAKING, CONTROL, AND EVALUATION

As an introduction to the discussion of reporting as a management aid for better decision-making, control and evaluation, some comments about these administrative processes are in order.

The decision-making process is usually interpreted as a modified version of the scientific method of research. This means that the decision-maker must follow several steps of procedure, beginning with the formulation of a problem up to an eventual calculated choice of a preferred solution.

Although admitting that problem-solving behavior is a relatively rare occurrence, it must be recognized that a person's decision is influenced by previously received communication.

When an organization achieves a very high degree of specialization, thousands of decisions may be made by hundreds of men in a single day. This situation is not so bad as it appears to be.

Within the organization prelimited, assigned administrative roles at each of the organization's different

levels have been defined, and the men filling those positions must work within specified boundaries. They need not calculate all the alternatives and consequences, and the degree of probability of occurrence.

In all organizations, objectives are instrumented through adequate plans and standards. In the words of Preston P. De Lebreton and Dale A. Henning:

Standards are the criteria one uses to determine whether or not the plans are being carried out as expected. That is, performance and results in the implementation of a plan are compared with what was expected to happen under the plan when it was designed. Standards are the means of comparing the performance with the expectations.<sup>5</sup>

Because man has limited ability and the executive's time is short, organizational plans and the decisions made for their implementation are less than perfect. In such a situation, the best thing that can be done is a follow-up over a period of time. In other words, because solutions can be wrong, or bad methods can be used in their implementation, organizational performance and "end results" have to be subject to quantitative and qualitative valuation.

Generally speaking, the more usual criteria for appraising management, at its various levels, are effectiveness and efficiency.

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<sup>5</sup>Preston P. De Lebreton and Dale A. Henning, Planning Theory (New Jersey: Prentice-Hall, Inc., 1961), p. 8.

According to Chester I. Barnard, an organization is effective if it accomplishes its end.<sup>6</sup> This means, that the effectiveness of an executive is directly related to his ability to get something done that in some manner contributes toward the attainment of the objectives and policies of the organization.

By the same token, a plan cannot be effective if it is not related, directly or indirectly, with the goals of the organization. If it is related, then its effectiveness is measured by determining whether it produces what it was intended to produce, without considering other factors, such as costs or personnel satisfaction. However, if a program in effective operation brings about one or more unintended or unanticipated outcomes, it is to that extent not efficient.

In profit-oriented business organizations, the concept of efficiency is employed in the sense of a ratio of input to output. Within this context, an executive has been efficient if he has attained an effective output of results greater than the input of costs, and with a minimum of effort. Efficient decisions maximize the achievement of given ends through the careful use of available means. Within this context, management's efficiency brings economy of operations usually reflected in low cost per unit of production (products or services) of desirable quality.

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<sup>6</sup>Chester I. Barnard, The Functions of the Executive (Cambridge, Massachusetts: Harvard University Press, 1960), p. 81.



Although business organizations stress profit-motivation to gain efficient behavior from their personnel, other motives are also employed to elicit efficiency. In this connection, Chester I. Barnard has said:

Good organizations --commercial, governmental, military, academic, and others-- will be observed to devote great attention and sometimes great expense of money to the non-economic inducements, because they are indispensable to fundamental efficiency, as well as to effectiveness in many cases.<sup>7</sup>

The difference between "work measurement" and measurement of results has led some students of administration to make a distinction between the process of control and the process of evaluation. As H. A. Finley put it, "control is a means of insuring that plans are being properly carried out and, as such, measures performance in relation to plan not the 'goodness' of the plan itself."<sup>8</sup> Finley further asserts that "control admits of the possibility that the operation could be a success but the patient could die; or at least that anticipation might be better than realization."<sup>9</sup>

He adds, "evaluation, however, through expectancy, realization and re-evaluation, measures the 'goodness' of the plans themselves."<sup>10</sup>

<sup>7</sup>Ibid., p. 83.

<sup>8</sup>H. A. Finley, "The Research Approach to Management Planning," Office Methods Research and Planning (New York 18: American Management Association, 1948), p. 4.

<sup>9</sup>Ibid., p. 4.

<sup>10</sup>Ibid., p. 4.

Finley implies that it is important for management to know that sometimes the appraisal of operations and results calls for the need to re-clarify or re-formulate the major objectives and policies of the organization.

Discussion of the process of decision-making has taken us to the realms of planning and control. There is a reason for this. Decisions are the principal ingredients that management uses in its planning, budgeting, and controlling activities. Plans, budgets, and control systems are formed by a series of very inter-related decisions. As William J. Gore put it, "Decisions are often so indistinguishable from other administrative acts that they cannot be set apart."<sup>11</sup> If we look at the following definition of planning this point will be more clear:

To plan means to study the past and the present in order to forecast the future, and in the light of that forecast, to determine the goals to be achieved, what needs to be done to achieve them, who is to participate in their achievement, how and when and where such actions are to be taken, and why all decisions regarding the plan are being made.<sup>12</sup>

After this brief analysis of the processes of decision-making, control, and evaluation, it is logical to conclude that administration can be viewed as a communication process. Therefore, management should make the best possible

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<sup>11</sup>William J. Gore, Administrative Decision-Making: A Heuristic Model (New York: John Wiley & Sons, Inc., 1964), p. 128.

<sup>12</sup>Floyd W. Reeves, from a classroom lecture delivered July 18, 1964 at Michigan State University.

use of the communication principles, tools and methods available.

In business and governmental enterprises, communication usually takes the form of upward reporting, i.e., reports flowing from lower and middle management to the top management level of the organization.<sup>13</sup> The top executive of the organization and his administrative staff constitute the top management level.

The following questions will serve as guidelines in the discussion of the communication process of reporting:

- (1) What principles of management underlie executive reporting?
- (2) What are the purposes of executive reporting?
- (3) What are some of the requisites of a good report for executives?
- (4) What methods and techniques of reporting have been employed successfully in business and governmental organizations?
- (5) In what specific ways do executive reports serve as tools for decision-making, control, and evaluation?

#### THE PROCESS OF ADMINISTRATIVE REPORTING

There are two major administrative principles underlying administrative or executive reporting. One is the

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<sup>13</sup>In the literature of management, reporting has a more inclusive meaning: as usually interpreted, reports may flow in four directions, upward, downward, across, and outward.

principle of accountability. This principle states that in all organizations where work is divided and delegated "continuous accountability for utilization of resources and for the production of results should be required."<sup>14</sup>

The orientation of reporting as a process is also based on the principle of measurement and appraisement. The essence of this principle is that in all organizations, individual and group activity has to be evaluated in order to provide a sound basis for decision making and planning.

It is evident that the practicability and applicability of these two principles in any organization depend upon the communication of policies and the establishment of adequate standards.

#### PURPOSES OF ADMINISTRATIVE REPORTING

The substance or content of an executive report in any enterprise is conditioned by its purposes.

It is generally agreed that the purposes of administrative reporting anywhere are: to evaluate executive competence; to facilitate the use of experience in making decisions and planning; to gain in public understanding; and in general, to promote communication between the various levels of the organizational structure, and between the organization and the community.

In looking for public understanding, all organizations, and particularly governmental organizations, are discharging

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<sup>14</sup>Catheryn Seckler-Hudson, op. cit., p. 40.

a public responsibility. In a democratic country, it is generally agreed that the "people" or their representatives should be informed of what is going on in government institutions. This applies not only to governmental agencies and bureaus, but also to such government corporations as public educational institutions. In the case of public universities, although a large measure of autonomy has been granted to them, still they are subject, to some extent, to governmental influence. For example, they usually depend on government for the largest part of their financial resources.

Structure of Reporting. In a sense, the purposes served by a reporting system determine its structure. The following statement tells about the reporting structure in business enterprises, which to a large extent closely resembles the reporting structure in a government agency:

Modern business is sometimes called a structure of interlocking reports. Supervisors on the operational level report upward on the activities and attitudes of workers. The administrators receiving these lower echelon reports consolidate, interpret, and organize the lower echelon data into reports which they send still higher. The administrators of middle management consolidate and interpret the lower management reports and send new reports still higher. Finally the top executive of the firm receives reports which represent compact information about the whole firm.<sup>15</sup>

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<sup>15</sup>Laurence D. Brennan, Business Communication (New Jersey: Littlefield, Adams & Co., 1960), p. 188.

### Suggestions for Improving Reports

Many lists of qualifications of a good report have been made. A selection of the most important elements in such lists is the following:

1. The report should be objective-oriented.
2. The report should be comparative. Information should be presented in comparison with past activity, plans, performance of others or some other criteria.
3. The report should give proper emphasis to the matters requiring administrative attention or action.
4. The report format and presentation should attract the attention of the recipient. It should be brief and adequately illustrated with charts and pictures.
5. The report should be presented on schedule.

### Methods and Techniques of Reporting Commonly Used in Business and Government Administration

Reporting by Exception. This technique implies that the reporter will give attention only to those facts and ideas which will be of great interest and help to the recipient.

This reporting technique is predicated on the basis that the top executive is usually involved in a series of activities demanding a great part of his time. Hence, to manage his time efficiently, the executive should concentrate his attention solely upon those variables which are

variations from routine, or deviations from existing plans or standards.

Graphic Methods. Usually administrative reports in business and government make use of presentation techniques that highlight significant developments or events. When quantities are reported in a chart or graph they should be presented, if possible, in such a way that trends and relationships can be clearly established.

The Role of Electronic Data Processing in Reporting. Data processing may be defined "as a series of planned actions and operations upon information to achieve a desired result."<sup>16</sup> The use of electronic computers in this activity is often called "automatic data processing."

In business and in government agencies, computers have made possible significant progress in the speed and analysis of planning and financial reports used at all levels of management.

In big corporations, the operation of high-speed computers has made possible the creation of "centers of intelligence research." These "centers" have taken advantage of the computer's "ability" to correlate data and synthesize information. After considering relevant relationships and implications, a "center of intelligence research" sends reports to appropriate "decisions points." Furthermore, it provides a lead in the follow-up of important decisions resulting from analysis of reports.

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<sup>16</sup>James W. Whitlock, Automatic Data Processing in Education (New York: The MacMillan Company, 1964), p. 10.

The functions and justification of a "Business Intelligence Center of Research" are clearly stated by Joseph D. Cooper in the following four paragraphs:

In all organizations the preoccupation with getting today's work out today tends to take priority over the development of information for use in control, planning and decision-making. If the organization can afford it --and the larger organizations really have no other choice-- independent centers of intelligence research should be created to study the raw intelligence and draw from it the comparisons and trends which may have implications for the enterprise. They do not take action on the basis of this intelligence but they refer it to people who should.

Staff and functional specialists may serve this purpose. They may, however, derive their own inputs from separate intelligence procurement units.

These intelligence centers --as well as the responsible action executives themselves-- should perform an additional function which is too often handled quite carelessly: the observation of the effects of an action. Individual executives should perform this function on matters within their specific areas of responsibility, but staff centers should monitor the effects of action as they have meaning for future planning or for operation of the organization as a whole.

The appraisal of enterprise capabilities is also within the scope of intelligence research. It is important to have this intelligence before decisions are made which commit resources.<sup>17</sup>

In What Specific Ways Do Executive Reports Serve As Tools for Decision-Making, Control, and Evaluation?

In the introduction to this chapter it was stated that "a person's decision is influenced by previously received communications...." It was also stated that decisions are

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<sup>17</sup>Joseph D. Cooper, The Art of Decision-Making (New York: Doubleday & Co., Inc. 1961), pp. 378-379.



the principal ingredients or tools that management uses in its planning, budgeting, and controlling activities.

An executive report provides a factual basis for decision-making, control and evaluation, if its content shows a clear picture of the strengths and weaknesses of the organizational unit, as well as the circumstances that created them. Top executives will profit from the use of such information at the time of establishing priorities for present and future operations.

A good annual report is an effective instrument of control, especially self-control. While gathering and interpreting the data to be included in his annual report, the reporter may be able to isolate and identify for himself those aspects of his work which are below acceptable standards.

## CHAPTER IV

### ANNUAL REPORTING PRACTICES AND ELECTRONIC DATA PROCESSING AT COLLEGES AND UNIVERSITIES

From business and government agencies, higher education in the United States has imported and adapted management methods and techniques. In this category are the preparation of annual reports and the use of computers in data processing.

It is the purpose of this chapter to examine some aspects of annual reporting and electronic data processing in higher education administration.

#### Annual Reporting

In American Universities, annual reporting is usually associated with the preparation of the University Annual Financial Report and the Report of University Progress from the President's office.

#### The Annual Financial Report

Purpose. The primary purpose of financial reporting is to assist the trustees and the administrators in the management of the institution for which they are responsible. It is evident that the increasing demand for funds for higher education has increased the responsibility of university authorities over the money spent. It is

convenient that representatives of the public and members of the groups responsible for the support of a higher learning institution be adequately informed of its financial affairs.

Throughout the nation, foundations organized to assist educational institutions find financial reports useful in reviewing requests for grants. These kinds of reports also become a matter of record for study and research.

Content. A college or university financial report is a statement of the receipt, expenditures, and condition of funds entrusted to the institution. The report begins with a summary of the financial situation of the institution. Some items of special interest to top management are emphasized. In presenting these data, charts and graphs are widely used.

The financial report of some institutions (University of California, for example) includes, also, information about the organization of the university.<sup>18</sup> Information about enrollment and special university programs is included in the financial report of Michigan State University.

In most financial reports an outside auditor's opinion is included.

Sources of Data. Financial reporting involves the use of accounting data, cost data, and statistical data obtained from accounting records as by-product information.

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<sup>18</sup>Financial Report, University of California, Fiscal Year 1963-1964.

Periodic financial reports of the several colleges, departments and dependencies, prepared during the year, serve for the preparation of the annual financial report. Usually these periodic reports are compiled from data processed by the data processing center of the institution.

Critical Views. The most common criticisms which have been made of annual financial reports of higher education institutions are the lack of precision, clarity, and timeliness.

Obviously, the responsibility of the university "controller" is not fulfilled until management understands the facts, and is in position to make use of them.

For the sake of clarity and usefulness, the following measures have been recommended:

1. The essential facts included in financial reports must be properly interpreted in short analytical statements.
2. Wherever possible, figures should show the relationships of actual operations to budgetary estimates and standards. Also, they should provide a comparison between "colleges," departments, and offices within the university, including consideration of their past operations.
3. Clear explanations of trends and relationships should be made whenever charts and graphs are used.

4. Giving emphasis to insignificant data for management purpose should be avoided. Attention should be focused on those areas where corrective action must be taken.
5. Reports should be submitted on time. On many matters, management would rather have approximate data that are timely even if somewhat accurate rather than precise data that are too old to be of value.

#### The President's Report of University Progress

Purpose. The annual report of progress of the institution, or President's Report of Progress, as it is usually called, is prepared with the purpose of informing the Board of Trustees, the Governor of the State, and Public Representatives of the progress attained by the institution in the last year. In the case of a private college or university, the report is also submitted to the alumni.

Content. The annual report of progress of a university always takes a narrative form. Visual presentation techniques are usually used to support and clarify a given statement. It is usually a brief report, with a very attractive appearance.

In some universities, Michigan State University, for example, the President's Report deals with a variety of topics such as: major changes in organization and curricula, enrollment growth, physical expansion, some indicators

of student achievement, results of experimental programs, general needs and problems, and future plans.

In some universities, the President's report is designed with a more particular approach --that is, the report's content is centered about several related factors. This was the case of the President's Report of the University of Wisconsin, years 1959-61, as shown in its introductory message:

The University of Wisconsin continued to grow in 1959-61. Its enrollment, faculty, programs, budget, facilities --almost everything about it that could be reflected in figures-- grew. But its greatest growth was in quality. Difficult to measure though the factor is, my report will center upon the indicators of quality improvement which developed during the biennium. This concentration will leave much unsaid about the University's progress during the two years. However, most of this information is available elsewhere.<sup>19</sup>

Sources of Data. It is a common practice in the administration of many colleges and universities that each institutional subdivision prepares and submits an annual report of progress. At the University of Illinois, this constitutes a legal requirement. Sec. 60 of the Statutes of this University states:

On or before the first day of September in each year, each dean and director, and each head of a general University department, shall make to the President an annual report in which he shall treat fully the work of his college school, institute, division, or department. Any of these University

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<sup>19</sup>Report of the President for 1959-1961, the University of Wisconsin (University of Wisconsin Publication Service, Vol. 1961, No. 10), p. 3.

officers may make reports or advance suggestions at any time and shall report to the President whenever requested to do so.<sup>20</sup>

These annual reports, as well as other special reports requested of organizational units, including academic legislative bodies, provide a valuable source of information for the University President and his assistants. In the 1961-62 Report of Progress of Michigan State University, ample recognition was given to these units for their important contribution. It was said:

This observation is prompted by a review of our recent annual reports, and the reading of the mass of fascinating material submitted by the several colleges, departments and other subdivisions of Michigan State University as the basis of this necessarily brief and inadequate summary of a single year in the long life of a dynamic institution.<sup>21</sup>

Following is a list of the major topics included in the Annual Progress Report of the College of Education of Michigan State University for 1963-64. It is presented here to give an idea of how valuable may be university subdivision annual reports as a source of information for the preparation of the President's Report of Progress:

1. Challenge faced by the Educational Enterprise.
2. Six Major Emphases Guiding Program Development During the Past Year.
3. Implementation and Activities of the Past Year.

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<sup>20</sup>University of Illinois, Statutes (1957), Sec. 60, p. 39.

<sup>21</sup>Report of Progress 1961-62, Michigan State University (Michigan State University Publication, Vol. 57, No. 6, Nov. 1962), p. 1.

4. Specific Activities During the Past Year (Break-down by Departments).
5. Factors of Growth.<sup>22</sup>

Other sources of data used in the preparation of the President's Report of Progress are: (1) The Annual or Biennial Budget of the Institution, (2) the Long-Range Plan, (3) the Annual Financial Report, (4) the Registrar's Report, (5) Reports of the Office of Statistics (or the Office of Institutional Research), and (6) special reports prepared during the year.

Critical Views. The importance of sound reporting practices in colleges and universities has been widely recognized. In this connection, Dodds has written:

Academic presidents are well aware that "facts do not speak for themselves"; nor have methods of reporting them kept pace with the increased complexity of the academic decision-making process.<sup>23</sup>

Thad L. Hungate states:

In the institution that consciously recognizes the importance of a built-in system of evaluation, its personnel are made aware of what serves well and what is inappropriate. Agreed-upon foci, methods, and procedures for each subject, and systematic reporting will provide evidence that will serve to guide future activity.<sup>24</sup>

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<sup>22</sup>Annual Report of the College of Education, Michigan State University, Year 1963-64 (in files of the Dean's Office).

<sup>23</sup>Harold W. Dodds, The Academic President-Educator or Caretaker (New York: McGraw-Hill Book Company, Inc., 1962), p. 106.

<sup>24</sup>Thad L. Hungate, Management in Higher Education (New York: Bureau of Publications, Teachers College, Columbia University, 1964), p. 194.



He further states:

It is here proposed that evaluation be recognized as one of the major functions of management; that each institution develop a coordinated, comprehensive, continuous program, subject to continuous review, that the procedures be improved as needed, and that results be fully utilized in the development of policies and plans.<sup>25</sup>

But although reporting is recognized as an important management aid, no formal studies of the role played by this administrative technique in higher education administration have been published. However, this does not mean that no problems exist related to reporting practices in colleges and universities. That in these institutions there is ample room for improvement of reporting practices is a general statement easily supported by evidence. For example, annual progress reports in higher education usually consist of descriptive statements of what has been done. Rarely, is it revealed why decisions have been made, and how results compared with expected estimates and standards. Consider the following incomplete reporting as shown in the Annual Report of Progress of Michigan State University for the Year 1961-62:

The College of Engineering is another making interesting changes in curricula, notably for sophomores in electrical engineering and mechanical engineering.<sup>26</sup>

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<sup>25</sup>Ibid., p. 204.

<sup>26</sup>Report of Progress 1961-62, Michigan State University, op. cit., p. 4.

Another example is as follows:

The number of credit courses offered off-campus increased by 11 per cent as did the course enrollments.<sup>27</sup>

In the same report, important statistics are dealt with in very short paragraphs. Consider this case:

Those interested in statistics might like to know that the University College achieved a high level of efficiency in teaching at the remarkably low cost of \$4.30 per credit hour. This is as low as, or lower than, most junior college costs.<sup>28</sup>

### The Present Role of Automatic Data Processing in Higher Education

The use of automatic data processing equipment as a tool in educational administration and management has become extensive.

According to James W. Whitlock, "The applications of automatic data processing in the administration of local school districts are being rapidly developed."<sup>29</sup> In higher education today, computers are used extensively in the areas of research and administration. In administration, the applications of automatic data processing fall into three general subdivisions: financial, academic, and planning and development. For example, the use of computers at the University of Massachusetts includes the following aspects:

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<sup>27</sup>Ibid., p. 21.

<sup>28</sup>Ibid., p. 15.

<sup>29</sup>Whitlock, op. cit., p. 1.

University payroll, staff personnel records, faculty work-load analysis reports, class scheduling, special institutional research projects, stock status for maintenance inventory control, student personnel records, and a basic student admissions program.<sup>30</sup>

In this same institution, included among operations under system analysis at present, are:

....periodic financial reports, office supplies inventory control, university budget preparation and library acquisition and circulation programs.<sup>31</sup>

According to the experts in this field, the daily operations of an educational institution could begin now to receive benefits by the use of computers in the determination of actual instructional costs. For example, "detailed faculty data can be related to detailed section, course and payroll data to determine actual instructional costs."<sup>32</sup>

On the other hand, electronic data processing can make over-all planning and development a more formal activity and far more scientifically oriented. In those universities where an Office of Institutional Research is in operation, it is recommended that this work be done under the supervision of this office. The experts' words in this connection are as follows:

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<sup>30</sup>Leo F. Redfern, "Review of the Calculating Administrators Experience with Electronic Computers at the University of Massachusetts," (State Government, the Journal of State Affairs, Vol. XXXVI, No. 3 (Summer, 1963), pp. 183-184.

<sup>31</sup>Ibid., p. 185.

<sup>32</sup>College and University Administrative Applications, IBM Data Processing Application, (IBM, Technical Publication Department, 112 East Post Road, White Plains, N.Y., 10601), p. 2.

A very necessary job which may be performed with the institutional research function is that of projecting enrollments. The simplest means of projecting is to extend past trends, but these figures are often misleading. There may be acceleration factors that call for statistical determination and considerable calculation. Such factor analyses have been successfully programmed on computers so that the final projection can incorporate them for more accurate results.<sup>33</sup>

It is further stated:

Projections that take into account varying factors such as the changing nature of funding or the influence of the local economy, have a still greater degree of accuracy. Some institutions are able to predict fairly accurately the results of a change in entrance requirements; others have detailed statistical breakdowns such that administrators can anticipate future building needs. Predictions can be proven and/or revised as time passes and more information is added. This can be a routine function in an established data processing center.<sup>34</sup>

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<sup>33</sup>Ibid., p. 65.

<sup>34</sup>Ibid., p. 65.

## CHAPTER V

### COMPARATIVE STUDY OF SOME ADMINISTRATIVE ASPECTS IN HIGHER EDUCATION, BUSINESS, AND GOVERNMENT

The central purpose of this chapter is to call attention to the basic needs and problems --within the field of administration-- which are shared by higher education, business, and government organizations. An attempt is made to demonstrate that information is one of the common resources most widely used by members of these organizations to satisfy individual and organizational needs and solve organizational problems.

#### Similarities

A comparison of higher education, business, and government organizations shows many similarities in their composition and administrative behavior, if such comparative study is carried out within the framework of social system theory.<sup>35</sup>

#### End-Attainment

College and universities, business enterprises, and government agencies provide ends for their members. These

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<sup>35</sup>"A social system is a pattern of organization by means of which group members are enabled to satisfy their needs. It includes positions, roles, statuses, relationships, purposes, and norms." (Earl H. Bell, Social Foundations of Human Behavior, New York: Harper & Row, Publishers, 1961, pp. 233-234.)

ends or purposes determine the activities to which the members of these organizations will direct their energy. In other words, it is of the essence of each one of these organizations to perform a technical function whose output is utilized in some way by other organizations, or individuals, in the larger society.

The ends of higher education institutions are the conservation, advancement, and transmission of knowledge. In other words, the university exists for the transmission of culture, the formation of professionals, and the advancement of science. And it is assumed that in carrying out these objectives, the university is very much concerned with the attainment of human understanding. This means breaking down the barriers which separate man from man, such as ignorance, social prejudices, and extreme ethnocentrism.

In attaining human understanding, the university has to be concerned with the total personality of its members. Furthermore it has to be involved in the critical examination of the most fundamental issues affecting its community, its nation, and the world, including those anticipated for the future. Business enterprises satisfy certain societal needs for goods and services, while aiming at profit. The objectives of governments are security, promotion of economic prosperity for their particular state, welfare activity, and liberty.

In the last decades, corporate industry and some government agencies have been actively involved in educational activities. Today, some big corporations spend large amounts of money in research, and in providing in-service training for their personnel. On the other hand, universities have largely increased the number and magnitude of their auxiliary (economic) enterprises.

### Instrumental objectives

In achieving its stated ends, each of the social systems under study has to determine and put into operation a number of "instrumental objectives" which should define: (1) the nature and extent of the technical function, (2) the kind of internal environment surrounding the technical function, (3) the characteristics of the product, (4) the sources, strategies, and techniques to be utilized in the procurement of resources, (5) the methods of evaluation and control, and (6) the degree and form of specialization of its members (actors) in the operation and management of the organization.

The determination of the "instrumental objectives" or major policies requires correct information of what the demands outside the organization are; what social forces are inducing social change and what resources (financial, human, and physical) are available or may be developed.

Because of their "functional autonomy" (resulting in part from their corporate status), business and higher education have many points in common in the determination

of major policies or "instrumental objectives." The next ten paragraphs discuss these common denominators.

### Three Major Policies or "Instrumental Objectives"

In business enterprises, choice of industry is perhaps the most fundamental of company policies, underlying and limiting all department policies.<sup>36</sup> This choice, in its broadest sense, is usually written into the corporate charter. Therefore, it is thereby reserved to the stockholders' discretion. However, within these broad limits, the board may decide to take on a new line or to discontinue an old one. After its decision is made, all departments will have to revise their policies to conform.<sup>37</sup>

Another major policy in business enterprises is the selection of the "competitive level." This is prerogative of the board. As Billy E. Goetz illustrates, the implications of this policy decision are obvious:

....if the board decides to seek the quality market, the engineering department must specify close tolerance and fine finishes; the personnel department must hire and train workers able to produce the desired quality product. The production department must acquire high grade equipment and provide adequate inspection.<sup>38</sup>

Here, too, every department must adapt its plans and operations to this major policy.

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<sup>36</sup>Billy E. Goetz, "Managerial Planning," in Readings in Management, ed., by Harold Koontz and Cyril O'Donnell (New York: McGraw-Hill Book Company, Inc., 1959), p. 319.

<sup>37</sup>Ibid., p. 319.

<sup>38</sup>Ibid., p. 319.



A third basic set of policies in operation in business enterprises fixes the company's objectives as to aggressiveness and expansion.<sup>39</sup> As a result, accurate plans are developed and implemented concerning such different strategic aspects as borrowing and purchasing, and the development and recruitment of personnel.<sup>40</sup>

In higher education, also, major decisions should be made concerning choice of fields, selection of competitive level, and rate of expansion.

Thus, it should be decided what fields the institution should cover. Other related decisions affect the emphases to be placed on the curriculum (Liberal Arts, Professional Education, Graduate Studies, Adult Education), as well as the importance to be given to research or public services. As in business, the basic chapter of the institution provides the functional orientation for these kinds of decisions. Specifically, this refers to the cardinal purposes or ends of the institution. Within this "sustantive" framework, the Board of Trustees imparts its approval to the operation of new schools and programs recommended by the legislative bodies of the faculty and by the President.

Selection of the competitive level in higher education involves the formulation of criteria for determining the clientele (students) to be served. Decisions have to be

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<sup>39</sup>Ibid., p. 319.

<sup>40</sup>Ibid., p. 319.

made stating the requirements for admission to the several colleges and schools, as well as for general requirements for degrees and certificates. Minor decisions stipulate the completion of a standard grade index or average at the end of each academic year.

If high standards of achievement are going to be maintained, the provision of high quality personnel, and the necessary equipment and materials are here --as in business-- a matter of the highest priority.

Determination of the rate of expansion has to do with the number of students to be admitted, the need for specific types of graduates in the nation's enterprises, the establishment of new campuses, or the opening of new extramural centers.

The physical and quantitative growth of colleges and universities creates new needs and poses new problems. Hence, continuous attention should be given in these institutions to financial planning, as well as the search for and development of teachers, researchers, and administrative personnel.

### Social Structure

Resulting from their condition as social systems, higher education institutions, business enterprises, and government institutions are said to possess "social structure." This means that they are composed of interdependent parts, which may be called subsystems or suborganizations. Because of specialization, and in consequence of the need

of consultation and coordination, the "patterned interaction" (means-end relationship) of the members of these subsystems takes place through three levels of authority and responsibility. For Talcott Parsons, these three levels are the "Community or Institutional System," "The Managerial or (The Administration)," and the "Technical System."<sup>41</sup>

"The Community System" is represented by the benefactors, or the elected or appointed public authorities in directing the organization toward the ends for which it was established and for which its funds were given or raised. School boards, boards of directors of business enterprises, the "political superiors" of a government department head, and University Boards of Regents form various "community systems."

The major concern of the "Community System" is the establishment of the "instrumental objectives" (major policies) of the organization.

Because major institutional policies or "instrumental objectives" are guides for effective action, it is a need of all organizations to find ways and means for constant evaluation of policies, procedures, and results of operations in the light of anticipated performance. Where corrective measures in relation to major policies are necessary, the "Community or Institutional System" should be

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<sup>41</sup>Talcott Parsons, "Some Ingredients of a General Theory of Formal Organization," in Administrative Theory in Education, ed. by Andrew W. Halpin (University of Chicago The Midwest Administration Center, 1958), p. 41.

responsible for taking effective action and following through to see that such action is accomplished.

In American institutions of higher learning, the Board of Regents or Board of Trustees represents the "Institutional System." In addition to its obligation for institutional policy, the Board has other duties centered around its relation to the President of the University, and the procurement, allocation, and control of financial resources. The job of interpreting the institution to the public is shared by the Board and the President.

The Managerial System or "Administration" in all organizations adopts and applies policies affecting the operations of the organization in accordance with the major policies or "instrumental objectives" set by the "Community System." It has been said that getting things done with a maximum of effectiveness and efficiency is the challenge of the people working in the "Managerial System."

Line organization represents the general field of the "Managerial System's" operations. It extends through an organization from the chief administrative officer all the way down to the operating personnel.

In colleges and universities, the President (or Chancellor) is the head of the "Managerial System." As in business, he is usually appointed or elected by the Board and his powers are usually specified in the corporate charter or the by-laws. The Board may delegate additional duties to the president.

A University President is responsible for taking the necessary steps toward the development of the best possible learning and teaching environment. This includes active participation in the recruitment, development, utilization, and supervision of faculty and other personnel. As a budgeter and planner, he not only participates but must provide leadership in the procurement of financial resources, determination of budget priorities, and in planning the long-range character and course of the enterprise.

The President is also responsible for programming and coordinating extracurricular activities and student services. Furthermore, he is in charge of "housekeeping" activities such as payroll procedures, mail services, and the maintenance and operation of building and grounds. He is, in short, ultimately responsible for everything that pertains to the operation of the institution.

To cope with these burdens, the university president has to delegate increasing power for decision-making to his administrative assistants (Vice-President for Administration, Provost, Dean of Students) and the several academic deans, who then share their authority on down the line to administrative offices and academic departments.

In many universities, "...enormous power resides in the departments (academic), and consequently in the department heads."<sup>42</sup> As Corson wrote: "They form the basic units

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<sup>42</sup>Francis H. Horn, "The Organization of Colleges and Universities," in Administrators in Higher Education, ed. by Gerald P. Burns (New York: Harper & Brothers, 1962), p. 59.

which ultimately carry out properly or inadequately the policies of the institution."<sup>43</sup>

Section 12 (b) of the statutes of the University of Illinois states the following concerning departmental authority:

The department has the fullest measure of autonomy consistent with the maintenance of general college and university educational policy and correct academic and administrative relations with other divisions of the University.<sup>44</sup>

Because delegation of authority in many universities has been a necessity, it is of fundamental importance for the President, his assistants, deans, and department heads to appraise the results of operations and keep in constant touch with all development through reports and other information media.

The Technical System is directly concerned with the needs and problems of the technical function. In business, the technical function is centered around the production and distribution of goods and commodities. In government it relates to the offering of public services and the maintenance of the governmental structure. Teaching and research are the basic ingredients of the technical function in higher education.

As Parsons put it, ".... the primary exigencies to which this suborganization is oriented are those imposed

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<sup>43</sup>John J. Corson, Governance of Colleges and Universities (New York: McGraw-Hill Book Company, Inc., 1960), p. 92.

<sup>44</sup>University of Illinois, Statutes (1957), Sec. 12 (b), p. 16.

by the nature of the technical task."<sup>45</sup>

Members of the "Technical System" exercise authority through very peculiar organizational arrangements. Describing this situation, Parsons says:

Organizational arrangements are extremely varied, sometimes such people have important positions in the "firm" or other managerial organization, and they should be regarded, like the foreman, as interstitial. In any case, their position cannot be a simple "line position." Nor, indeed, is it adequate to assign them to the "staff" and say that their function is to "advise" the "lay" executive.<sup>46</sup>

In higher education, the "Technical System" comprises all the organizational bodies by which the faculty of a university exercises its authority. The university faculty, as a group, is usually organized as a legislative body. It is the traditional form of a faculty organization.

In large institutions, the teachers in each college are organized as a separate faculty. The faculties of the several colleges have jurisdiction over academic matters pertaining to the internal affairs of each college.

In many universities, policy making functions of the "Faculty" are vested in a legislative body known as the Academic Senate. Concerning the legal authority of an Academic Senate, President Emeritus Dodds of Princeton has written:

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<sup>45</sup>Talcott Parsons, "Some Ingredients of a General Theory of Formal Organization," in Administrative Theory in Education, ed. by Andrew W. Halpin (University of Chicago: The Midwest Administration Center, 1958, p. 41.

<sup>46</sup>Ibid., p. 46.

The legal powers of the senate differ from institution to institution. In a small university the senate's essential function may be to investigate and prepare recommendations for action by the general faculty. In others its power of decision may be almost as broad as the faculty's, subject to prescribed reports to the faculty and perhaps approval by it.<sup>47</sup>

In all organizations, the strength of the three "systems" in the organizational structure is directly related to the adequacy and quality of communication that exists between them. In order to maintain adequate, effective communication, systematized activities related to the gathering, processing, and dissemination of data should be performed. In large and complex organizations, special staff units have been created to deal with the production and management of data. "Centers of Intelligence Research" perform this function in business and government organizations.

In some universities, offices of Institutional Research have been set up to provide top management with basic information. The following list of items furnished by Dodds gives us an idea of the kind of information produced by these offices.

Studies of the course of student enrollments subdivided into schools, departments, and programs of study; post-college career patterns of students; projections of social and economic changes relating to the number of students in the future and what their demands for instruction will be; the ratio of small to large classes with instructional costs per student, with reasons for variations; student

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<sup>47</sup>Dodds, op. cit., p. 106.



drop-outs with reasons; space utilization, with data on present and future needs for laboratory, classroom, dormitory, or other space; faculty turnover and major obstacles to faculty recruiting; salary patterns; and teaching loads and their distribution.<sup>48</sup>

### Differences

If higher education is similar in some respects to other organizations, there are also many ways in which a college or university administration differs, at least in degree, from other administration.

### Faculty Authority

If control is defined as the "ability to influence decisions relating to the values of others in an organization,"<sup>49</sup> then it is evident that the "Technical System" in higher education exercises a greater amount of control than it usually does in other organizations. There are a number of reasons for this: 1. the variety and complexity of the "Technical System" operating in colleges and universities; 2. the functional autonomy of the faculty because of its specialization (expertness), and its personal involvement in the technical function; 3. the recognition that the problems and issues dealt with at this level are of vital importance to the institution, affecting almost every institutional activity; and 4. the emphases placed

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<sup>48</sup>Dodds, op. cit., p. 319.

<sup>49</sup>Alfred de Gracia, "The Science and values of Administration: I., "Administrative Science Quarterly", Vol. 5, No. 1 (Dec., 1960), p. 383.

in university administration upon the process of consultation. Evidence supporting this last point is given by Dodds. He wrote:

We may add that among the samples of colleges and universities which we studied, those of accepted educational eminence were characterized by a large measure of faculty self-government, although in varying degrees and forms, and that in each the trend in recent years has been to draw the faculty more and more into advance consultation on broad institutional policies formerly considered to lie within the exclusive domain of the trustees, advised by the administration.<sup>50</sup>

#### Possibility of Being Dysfunctional

It is of the nature of social systems to influence society either positively or negatively. That is, some of their functions may benefit society, but others may not. Therefore, as Riggs has said, quoting Marion Levy, ".... a function is merely a consequence affecting other structure in a system."<sup>51</sup> As Riggs points out, Levy called "eufunctional" those functions of a system or subsystem which promote survival, and "dysfunctional" those functions which are destructive, or undesirable for the survival of society.<sup>52</sup>

In some circumstances even a "eufunction" may create some problems for society. If the function opens the door

<sup>50</sup>Dodds, op. cit., p. 15.

<sup>51</sup>Fred W. Riggs, Administration in Developing Countries (Boston: Houghton Mifflin Company, 1964), p. 75.

<sup>52</sup>Ibid., p. 75.

to social change, this may occur. Showing a responsible concern for how this situation may develop in business enterprises, Robert Austin has said:

Top management needs to broaden its view to include a responsible awareness of social change brought about by business' own technological advances.<sup>53</sup>

In a governmental operation, for example, the reduction of man work-hours (a eufunction) may be accompanied by an increase in adult delinquency, or the expansion of the opportunities of women to work could increase family problems.

In higher education, although the participation of outstanding faculty members as consultants to government or private enterprises may enhance the university's reputation, it may also prove to be a "dysfunction," considering the effect of this practice on the teaching process. Other examples may be found in the offering of courses for which the institution is not adequately prepared, or being engaged in activities that some other agency (government, business, or other educational institution) could perform more effectively and efficiently. On the other hand, if the curriculum does not reflect major social and individual needs, the result is usually a bad use of resources. Lack of interest in identifying outstanding qualities in the students reflects ignorance of purposes. By what has been

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<sup>53</sup>Robert W. Austin, "Responsibility for Social Change," Harvard Business Review, (July-August, 1965), p. 51.

said, it is important to note that the determination of its "instrumental objectives" is a crucial step in the administration of a college or university.

It is here maintained that higher education has a deeper concern for the possibility of being "dysfunctional" than other social systems. The reasons are obvious. In the first place, the number of pressures (some antagonistic) bearing upon higher education is enormous. Second, it is fully recognized that "dysfunctionalism" in education, at all levels, is extremely costly in terms of the disruptive personal and social consequences produced.

Pressures. Students of higher education have given special attention recently to the various pressures felt by the institutions of higher learning.

Most public universities are facing the social population pressure for larger increases in enrollment. It is argued that if the institutional growth is not adequately being planned, in accordance with probable future resources, especially human resources, the probability that educational institutions may produce "dysfunctional" results is very high. As a matter of fact, some universities facing a rapid and sustancial increase in enrollment are turning to mass production, characterized by a high number of student-credit hours produced per faculty members. Furthermore, education in these institutions is charged with being "depersonalized."

In the race for cost reductions and mass production, the pressure for uniformity is being felt in higher education. As Logan Wilson, President, American Council on Education points out, some junior colleges are the object of pressure to become higher level institutions.<sup>54</sup> Liberal Arts colleges and technical-oriented institutions are being pressured to convert into so-called "comprehensive universities."<sup>55</sup>

To those who believe that variety of form and function is one of the strengths of American higher education, a blind compliance with these pressures is unthinkable. Furthermore, there is a conviction that

....where resources are more limited, operations should be within more restricted ambits with no institution undertaking more than it can do well.<sup>56</sup>

Because of certain pressures in the last decades, higher education has been more sharply perceived as a mechanism for meeting the nation's manpower needs for engineers, chemists, physicists, doctors, veterinarians, and lawyers. It is argued that if the meeting of these demands means the sacrifice of liberal education, then colleges and universities would be dis-serving society. Considering an aspect of this situation, Henry David asserts:

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<sup>54</sup>Logan Wilson, "Setting Institutional Priorities," Current Issues in Higher Education, The Proceedings of the Twentieth Annual National Conference on Higher Education, (March 7-10, 1965), p. 37.

<sup>55</sup>Ibid., p. 37.

<sup>56</sup>Ibid., p. 37.

I also urged that higher education should not confuse the economy with society and that it must not conceive its relationships to the economy as a trainer of highly specialized manpower and as a center for research in such terms that its capacity to fulfill other needs of the society will be severely limited.<sup>57</sup>

Consequences. The list of graduates of a university usually includes economists, business administrators, engineers, research technicians, doctors in medicine, veterinarians, lawyers, pharmacists, social workers, marketing technicians, and so forth. Thus it may be inferred that the output of a university (its graduates) becomes the input of other social systems. If, on the other hand, one of the university's primary responsibilities is the inculcation of social roles and attitudes, then there is ground to argue that higher education has a pervasive influence (enfunctional or dysfunctional) in other social systems. This fact lead Thelen and Getzel to say:

But education as a system is also unique in certain respects. It is a system whose major functions seem to be delegated to it by the other systems, and, to a degree, the effective functioning of the other systems depends directly on the effective functioning of the educational system.<sup>58</sup>

For all what has been said, decision making in colleges and universities has to place special attention on the

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<sup>57</sup>Henry David, "Pressures on Higher Education from the Changing Economy," Current Issues in Higher Education, The Proceedings of the Twentieth Annual National Conference on Higher Education, (March 7-10, 1965), p. 73.

<sup>58</sup>Herbert A. Thelen and Jacob W. Getzels, "The Social Sciences: Conceptual Framework for Education," School Review, LXV (Autumn, 1957), p. 346.

prediction of consequences. This involves the responsibility of inquiring whether current and proposed programs, plans, and techniques are consonant with the stated objectives, and if the organizational structure of the institution needs to be reshaped as the institution decides to take on new functions, or to eliminate present activities.

### Importance and Difficulty of Evaluation

It is fundamental for a college or university to maintain an excellent climate for learning, and for teaching and research, including opportunities for self-expression, constructive criticism, and constructive action. This is the essence of a university. It is not only its way of life, its raison de'etre, but in a sense, it is also its basic product or result.

A peculiar characteristic of higher education is the difficulty of evaluating the processes and products of its "technical function." In part, this difficulty may be explained by the fact that teaching and learning, although related, are different processes. It is possible for any student, although physically present in a room, to be spiritually absent, completely disregarding the intention of the teacher. In consequence, what he learns is something different from what the teacher attempts to teach. It may also occur that the student's learning achievement as measured by "standardized examinations" may not be as expected in spite of the teacher's efforts to the contrary. This

situation has led Frank Blackington, Professor of Education, Michigan State University, to write:

In fact, it is not uncommon for someone to teach a lesson with the results of several youngsters learning what was intended while other youngsters reject the teaching attempt either through lack of understanding or being preoccupied with other interests.... All sorts of things may be learned in this brief span of time --none of which are taught by the teacher.<sup>59</sup>

Evaluation difficulties in higher education also result from the many conditions (variables) influencing the intellectual, emotional, and moral development of the student --some of them lying beyond the control of teachers and administrators. In some universities, the academic deficiencies brought by entering students represent a formidable barrier against any kind of positive development. On the other hand, while in school, the student cannot escape the impact of some external, anti-intellectual forces. The following statement of Frank Blackington implies that, in the United States, these forces represent a very serious problem:

Much criticism can and has been directed at the American culture. The most vulnerable spot in the culture is, perhaps, its anti-intellectual and anti-theoretical tendencies. Lacking an understanding of the value of reflection and theorizing, comparatively little emphasis is placed on this type of activity.<sup>60</sup>

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<sup>59</sup>Frank Blackington, "Intend to Teach," (Mimeographed Paper), p. 3.

<sup>60</sup>Frank Blackington, "Some Remarks Concerning Student Teaching, Theory and Practice," (Mimeographed Paper), p. 1.



There are other factors making evaluation in higher education a difficult undertaking: 1. The intangible nature of most of the variables: that is to say, they are not amenable to quantification. Although it is possible to set quantitative targets and objectives in higher education, these relate only indirectly to the central purposes of the universities. 2. The resistance to evaluation on the part of many members of the organization. 3. The lack of formal planning and performance standards. Very often plans put into operation have no provisions for the evaluation of results in accord with stated directives.

Planning thinking is fundamental to sound program evaluation in higher education. A college or university is a complex organization in which a decision in one area often affects decisions in one or more other areas. Consider this hypothetical case. In a university, only twenty percent of the faculty possess the doctoral degree. Because of this situation, university's authorities decided to provide a large number of faculty leaves for advanced study in a given semester. Viewed in isolation, this seems to have been an intelligent decision; however, in evaluating its merits one should consider not only the degree of resulting improvement anticipated in faculty preparation, but also (1) the steps taken to replace those on leave; (2) teaching load and size of class of those remaining faculty members; and (3) plan of expenditure in the university in other non-personnel areas.

The above case clearly shows that in order to appropriately evaluate the original decision, it was necessary to trace all its present and future effects in other university areas. Undoubtedly, this is a job demanding high administrative abilities, and furthermore, clear understanding of the importance and meaning of quality in higher education.

The Appraisal of Executive Performance. In evaluating executive performance in higher education, there are some personality traits that may give an idea of the quantity and quality of executive work.

One character trait is the innovative spirit of the man, as reflected in the novelty and originality of his ideas. Another in his ability to recruit outstanding personnel. Still another is the kind and intensity of communication between the executive, his assistants, and other personnel.

Ray E. Brown, vice-president for administration of the University of Chicago, is convinced that "...to a large extent the sort of questions the administrator asks determines the sort of administrator that he is."<sup>61</sup>

The fact is that intelligent questions are rooted in a clear understanding of fundamental problems.

Considering negative qualities, it is not difficult to know when executive behavior reflects a lack of self-

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<sup>61</sup>Ray E. Brown, "Will Too Much Success Spoil the Administrator?" College and University Business, Vol. 34, No. 4 (April, 1963), p. 52.

control. A clear picture of this situation is given by the late Clifford E. Erickson, former dean of the College of Education, Michigan State University:

Personal accountability involves a commitment to excellence --to a self discipline that evidences itself in the endless procession of opportunities and frustrations that greet each of us. Without such a concern, appointments are not kept, letters remain unanswered, projects are undertaken and then forgotten or slighted, reports are promised and not delivered, research monies are applied for, granted and then not properly utilized.<sup>62</sup>

Criteria for Evaluation. If colleges and universities are concerned as societal-oriented institutions, then the evaluation of their results and processes should be centered around the concepts of function, effectiveness, and efficiency. As stated before, processes or results are "eufunctional" if they are helpful to the maintenance and improvement of society, "dysfunctional" if they are not.

The effectiveness of operations is usually interpreted to be the contribution made toward the achievement of the goals of the institution.

Efficiency usually carries the connotation of "economical." In this sense, results are measured in terms of the cost per unit of satisfactory production. In higher education, for example, unit costs may be measured in terms of total teaching expenditure per student-credit hour. Measures of teaching load are also used, i.e., the number of student-credit-hours per full time equivalent teaching-staff

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<sup>62</sup>Clifford E. Erickson, "The Pursuit of Excellence," (Mimeographed Paper), p. 7.

member. In business, cutting costs, per se, is an "instrumental objective." In education, there is not a clear-cut notion of what economy means. What is apparently clear is the need of making the best use of available resources. For example, the administrative action of taking a competent researcher out of the laboratory to do administrative work may not be considered an efficient action.

In harmony with what has been said, the following specific criteria are usually employed in the evaluation of academic activities: 1. the performance of students on standardized examinations; 2. the performance of graduates in advanced studies; 3. the achievements of alumni; 4. the academic preparation and experience of the operating personnel; 5. the adequacy of the methods employed; 6. the degree of communication between the faculty and the students, and between the faculty and the administration; and 7. the adequacy of the physical environment for the teaching-learning and research processes.

The Role of Institutional Research in Evaluation. The University of Illinois is one of the few institutions of higher education whose office of Institutional Research makes appraisal and recommendations.<sup>63</sup> It has been suggested that a more extensive use of institutional research be used to supplement present methods of evaluation. Brumbaugh, for example, states that:

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<sup>63</sup>Dodds, op. cit., p. 178.

....a study of the excellence of an institution will inevitably lead to identifying and testing the soundness of the assumptions on which its program rests.<sup>64</sup>

Therefore, he insists that "such assumptions must be tested."<sup>65</sup>

### Conflict and University Leadership

"Tension management" in higher education is a very difficult activity. In part, this is because higher learning institutions have "contradictory functional requirements." This means that these institutions operate with cross or conflicting purposes and objectives.

As stated before, there are many external pressures bearing upon higher education. The area of concern of these pressures usually centers upon the ends, objectives, and programs of the institution, including such "instrumental objectives" as academic freedom or student discipline.

It may occur that the trustees, "the administration," or the faculty, influenced by external pressures, excessively compromise the resources of the institution in trying to solve urgent and temporary problems of the community. This could be the case of giving too much emphasis to applied research to the detriment of basic research, or the situation created by a proliferation of "special short courses" offered in response to demands from certain persons or organizations.

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<sup>64</sup>Brumbaugh, op. cit., p. 6.

<sup>65</sup>Ibid., p. 6.

Other conflicting objectives may be illustrated as follows:

1. Some universities maintain graduate studies and research centers at the expense of their undergraduate programs.

2. In some universities, a person is hired to teach, but his research or publications, rather than his teaching ability, has more weight--with the institution's authorities--in determining his promotion in rank.

3. In some institutions, the curriculum and the extra-curricular activities are working at cross-purposes.

4. In some colleges and universities, the teacher assumes conflicting roles. In the words of E. C. Hughes, one aspect of this situation is as follows:

The American undergraduate teacher has conflicting demands made upon him. He is expected to be a cross between a high school teacher, a chaperon, a distinguished research man and a personal and public relations counsellor.<sup>66</sup>

5. Some faculty members at the time of making decisions concerning the general welfare of the university think more in terms of their own discipline, department, or school than of the institution as a whole.

Campbell gives us some light on why the management of conflict in higher education requires so much thought and energy. He implies that the reference groups of the educational administrator which lie outside his institution--the

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<sup>66</sup>Everett C. Hughes, "The Survey and Its Results," The Educational Record, Vol. 44, No. 3 (July 1963), p. 201.

public, pressure groups, politicians, professional organizations--have different expectations of him than comparable reference groups do of business or governmental administrators.<sup>67</sup> For example, a top university administrator is expected to act and behave as a societal leader. Administrators in other enterprises may be leaders in this sense through the policies of their company or agency, yet the various segments of society do not expect them to lead the society.

Decentralization of authority, through a separation of power between the three levels in the hierarchical structure of a college or university, is seen as a form of "tension management." However, the effectiveness of this action is directly related to the degree of coordination that can be achieved in the government of the institution. For example, the president of a university is considered the sole official channel of communication between the professional staff and the governing board.<sup>68</sup> This practice may be criticized on various grounds. In its favor it may be argued that "the more channels of communication there are within an organization, the greater will be the discrepancy, among the members'

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<sup>67</sup>Ronald F. Campbell, "What Peculiarities in Educational Administration Make It a Special Case?" In Administrative Theory in Education, ed. by Andrew W. Halpin (University of Chicago: The Midwest Administration Center, 1958), p. 180.

<sup>68</sup>Middle States Association of Colleges and Secondary Schools, Commission on Institutions of Higher Education (Document No. 4, 10, February 1957), p. 2.

understandings and points of view."<sup>69</sup>

Burton R. Clark has said:

In social institutions raw conflict is often gradually transformed into socially approved conflict by the growth of a body of rules and regulations that are seen as legitimate by the contesting parties.<sup>70</sup>

Because a large number of the demands and complaints of faculty members are rooted in ideological and philosophical matters (academic freedom, traditional values), the "institutionalization" of conflict in higher education presents very difficult problems. Hence, the difficulties that university authorities have to face in "tension management" constitute a formidable challenge.

Because conflict is a common and complex phenomenon in higher education, what university personnel have to do, as Clark has suggested, is "to create out of this conflict and around it, a consensus that allows work of high quality to be done."<sup>71</sup> Clark's statement involves a recognition of the importance of democratic leadership in dealing with conflict, since a democratic leader usually attempts to decide and act on a consensus basis.

University administrative leaders should depend more on their ability to persuade than on the privileges and

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<sup>69</sup>Bernard Berelson and Gary A. Steiner, Human Behavior --An Inventory of Scientific Findings (New York: Harcourt, Brace & World, Inc.) p. 369.

<sup>70</sup>Burton R. Clark, "Faculty Authority," AAUP Bulletin, Vol. 47, No. 4 (December, 1961), p. 297.

<sup>71</sup>Ibid., p. 302.



powers assigned to them by university law or regulations. In all organizations, the effectiveness of persuasion is directly related to the degree to which information concerning individual and organizational needs, problems and accomplishments is shared by the administrator and participants in the management and operation of the institution.

Criticisms of Administrative Practices  
in Higher Education

Higher education in the United States is not usually associated with sound administrative practices. This is a reasonable conclusion after considering the experts' testimony. Some illustrations follow:

Dodds has written:

Management experts who survey colleges and universities report that many educational institutions suffer from grave operating inefficiencies.<sup>72</sup>

Edward H. Litchfield, while chancellor of the University of Pittsburgh, provided a list of what he considered the major administrative defects in higher education. They included the following:

1. Lack of staff organization necessary for careful calculation of alternatives on which the administration may deliberate and among which it may ultimately choose.
2. Lack of a systematic provision for reappraisal: for example, there is no one whose responsibility it is to reappraise the program constantly.

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<sup>72</sup>Dodds, op. cit., p. 66.

3. Lack of attention to the problems of training students for University Administration.<sup>73</sup>

After 15 years of studying the field of business administration in colleges and universities, E. J. Bofferding of Cresap, McCormick and Paget (Management Consultants, New York) has published the ten basic shortcomings most frequently encountered by that firm. The list includes the following:

1. Lack of operations based upon the concept of policy control;
2. Lack of basic objectives for the business management activities;
3. Business services have not developed corresponding financial plan or plans for providing the services needed in the size of institution which is foreseen;
4. Failure to make regular use of practices that are accepted as commonplace in the industrial community.
5. ....a lack of evaluation of results.<sup>74</sup>

Some critics are of the opinion that administrators in higher education have been deserting their primary roles. In reference to the responsibilities of a University President, Logan Wilson maintains that:

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<sup>73</sup>Edward H. Litchfield, "Organization in Large American Universities," The Journal of Higher Education, Vol. XXX, No. 9 (December, 1959), pp. 493-503.

<sup>74</sup>E. J. Bofferding, "What's Wrong With College Business Administration?" College and University Business, Vol. 34, No. 4 (April, 1963), pp. 53-54.

....public service demands upon him are often so numerous and so pressing that he functions only residually as an educational leader on his own campus.<sup>75</sup>

Considering pressures on deans and other administrators, John W. Gould has written:

The President is delegating more and more of his internal institutional concerns, particularly faculty and curriculum problems, to the deans so that he can devote more time to fund raising relations with interest groups outside the campus. The dean is becoming in effect a vice president for educational affairs, and a number of his duties must be delegated to others. If he hopes to have time for students, he must ruthlessly rid himself of routine chores.<sup>76</sup>

At this point, it is legitimate to ask if the above criticisms mean that a great number of the people participating in the administration of colleges and universities have no concern at all for the progress of their institution. It is argued here that in answering this question the general approach to institutional change in american higher education should be taken into consideration.

In all organizations, change may be the product of evolution or revolution. If evolutionary, change becomes incremental, of a remedial nature, and subject to periodic check up to see if corrections need to be made. On the other hand, revolutionary changes are associated with goal readjustments, the adoption of new functions, substantial

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<sup>75</sup>Logan Wilson, op. cit., p. 39.

<sup>76</sup>John Wesley Gould, "Pressures on Deans and Other Administrators," Current Issues in Higher Education, The Proceedings of the Twentieth Annual National Conference on Higher Education, (March 7-10, 1965), p. 157.

changes in organizational structure, or the establishment of new methods and techniques. Usually these changes are the result of the operation of large-scale plans based on a comprehensive approach and supported by large research installations.

Some universities, because of their institutional character, or because of lack of adequate resources, take an evolutionary approach to institutional change.<sup>77</sup> Hence, although these institutions may grow quickly in enrollment, in other developments they are well behind the pace followed by other organizations. It is not that they are not moving toward progress and modernization, but their movement is purely incremental. In general, small variations in policies are adopted, and only in states of crisis or emergencies do grander changes occur.

That higher education administration, generally speaking, is characterized by complacency in maintaining the status quo is implied in the following expression:

Universities are by nature essentially conservative institutions, slow themselves to change, however much they advocate societal reforms and however vigorously they seek to push back the frontiers of knowledge.<sup>78</sup>

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<sup>77</sup>"The character of a college or university as an institution," according to E. D. Duryea, "emanates from two attributes, one reflecting the historical continuum of the institution and the other the current situation. The first of these two attributes we call its culture....The second attribute is the physical setting and the group of participants associated with institution at any particular time." (E. D. Duryea, "The Theory and Practice of Administration" in Administrators in Higher Education, ed. by Gerald P. Burns (New York: Harper & Brothers Publishers, 1962), pp. 37-38.

<sup>78</sup>Report of Progress 1962-63, Michigan State University (Michigan State University Publication, Vol. 58, No. 4, November, 1963), p. 5.

Perhaps, the great potential of conflict that exists in higher education is a factor strengthening the incremental approach. As a strategy for decision-making, incrementalism is praised by its avoidance of conflict situations. In this connection, Charles E. Lindblom has said:

Note, too, how the incremental pattern of policy-making fits with the multiple pressure pattern. For when decisions are only incremental, closely related to known policies, it is easier for one group to anticipate the kind of moves another might make and easier too for it to make correction for injury already accomplished.<sup>79</sup>

It is not difficult to think of other factors perpetuating incrementalism as an approach to change. A partial list will include: 1. fear of failure, usually reflecting professional incompetence; 2. "procrastination," or delay in arriving, implementing, and evaluating decisions. On some occasions, this condition is a consequence of the diffusion or fragmentation of authority characterizing university administration; 3. the retreat of the trustees to a position of laissez faire, characterized by a lack of initiative in suggesting changes in major policies or methods. In some universities, the participation of the trustees in university affairs is very limited, if it is considered that their decisions are usually limited to a "yes" or "no." Usually, non-action means action postponed.

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<sup>79</sup>Charles E. Lindblom, "The Science of Muddling Through," Public Administration Review, Vol. XIX, No. 2 (Spring, 1959), p. 86.



Criticism to Present University Orientation

The high degree of similarity in the administrative process as it occurs in higher education institutions, business enterprises, and government agencies should not obscure the fact that the mission of these organizations is essentially different.

Some of the critics of higher education in the United States maintain that the American University is not living up to its original mission. It is argued that the university has detached itself too much from the disinterested search for truth and the attainment of human understanding. By compromising itself too much with immediate and local needs, the university has lost its real identity, and it has thus come to resemble business and government organizations. This present university orientation may be seen as a sign of the times. The whole civilized world is today engaged in the battle for production. Substantial and rapid increase in economic growth is a primary objective of government, and in carrying out this objective, government has found in the universities a valuable instrument.

As the critics imply, this situation has subverted the nature of the university as an institution devoted primarily to the advancement of man as a man. In recruiting the service of the university, the economic powers of society, including government, have provided the university with the specifications of the type of man they want. The important thing about this type of individual is not his capacity for

reflection, his attitude toward other people's problems, or how much he is willing to sacrifice for his ideals and values, but to what degree he masters production skills. As Montagu puts it "for the most part modern education prepares men to live better with machines than with themselves or with other human beings."<sup>80</sup> In other words, in fulfilling its mission the University has been giving more and more emphasis to enable the student to satisfy his physical needs, and less and less attention to facilitate his satisfying of psychological needs such as "relatedness to others" and critical thinking. In discussing the training of the members of the professions, Ortega y Gasset gives a clear insight of how important it is for the democratic school to develop in its students the ability to think critically and to act accordingly. He states:

Society needs good professionals--judges, doctors, engineers--and therefore the university is prepared to furnish professional training. But society needs before this, and more than this, to be assured that the capacity is developed for another kind of profession, the profession of governing. In every society someone governs, whether a group or a class, few people or many. By "governing" I mean not so much the legal exercise of authority as a diffuse pressure, or influence, exerted upon the body politic.<sup>81</sup>

Paul Goodman, an ardent critic of the present university orientation, has written:

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<sup>80</sup>Ashley Montagu, The Cultured Man (New York 20, N.Y.: Permabook, Inc., 1959), p. 36.

<sup>81</sup>José Ortega y Gasset, Mission of the University, trans. H. L. Nostrand (Princeton, N.J.: Princeton University Press, 1944), pp. 58-59.



Education is motivated through and through by social needs. Culturally, there are no non-social needs. The professions require licenses; certain skills are marketable; rhetoric and dialectic are learned for leadership; the arts and sciences are useful. Yet it makes an enormous difference if it is directly society that uses the schools to train youth for its needs, or if it is directly the scholars that use the schools to learn or teach what they practically want to know or profess.<sup>82</sup>

Visualizing the University in terms of a machine, he says:

The machine has no educative use, but it occupies the time of the students (in a period of youth unemployment), it pays the salaries of scholars, and it manufactures licenses and marketable skills. Yet these are not its purposes. Like the American economy itself, the system of universities is really a machine for its own sake, to run and produce brand goods for selling and buying. Utility is incidental. More revolutionary products like free spirit, individual identity, vocation, community, the advancement of humanity are, rather, disappointed.<sup>83</sup>

Goodman is very much concerned with the impersonal character of communication between members of the academic community. Blaming the administrative elite of the university for the intensification of this situation, he states:

In effect, it is the genius of strong administration to weaken the community by keeping the teachers out of contact with the students, the teachers out of contact with one another and with the world, and the students imprisoned in their adolescent subculture and otherwise obediently conformist. Our theory has been that the university is the personal relations among veterans and students in a studium generale, as a climax of growing up and

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<sup>82</sup>Paul Goodman, The Community of Scholars (New York: Random House, Inc., 1962), p. 48.

<sup>83</sup>Ibid., p. 63.

commencing. Modern administration isolates the individuals, the groups, and the studies and, by standardizing and coordinating them, reconstructs a social machine.<sup>84</sup>

Is the present university orientation basically wrong? Do the dysfunctional results produced by the "multiversity" outweigh its positive accomplishments? (Multiversity is the name usually given to modern large universities.) As implied by his words, Goodman would say, yes. But the "multiversity" is not without defenders. Although admitting that it is susceptible of improvement, they are of the opinion that it is basically sound. Kerr, a front-line defendant of the "multiversity," offers the following rationale for his position.

Instead of platitudes and nostalgic glances backward to what it once was, the university needs a rigorous look at the reality of the world it occupies today. The basic reality, for the university, is the widespread recognition that new knowledge is the most important factor in economic and social growth. We are just now perceiving that the university's invisible product, knowledge, may be the most powerful single element in our culture, affecting the rise and fall of professions and even of social classes, of regions and even of nations.<sup>85</sup>

Both Goodman and Kerr are preoccupied by the deterioration of communication between the members of the academic community. However, as Kerr implies, size and bureaucratic growth are not to be held responsible for this state of affairs. His criticism is directed toward the fragmentation

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<sup>84</sup>Ibid., p. 63.

<sup>85</sup>Clark Kerr, The Uses of the University (Cambridge, Massachusetts: Harvard University Press, 1963), pp. v-vi.

of knowledge and excessive centralization. The present trend toward over-specialization leads Kerr to say:

The faculty world seems to sense a loss a unity-intellectual and communal unity. In large measure this can be attributed to 'the overwhelming predominance of things that are new over things that are old' and to what Robert Oppenheimer calls 'a thinning of common knowledge.' Knowledge is now in so many bits and pieces and administration so distant that faculty members are increasingly figured in a 'lonely crowd,' intellectually and institutionally.<sup>86</sup>

Elaborating on the need for decentralization, Kerr points out:

We need to decentralize below the campus level to the operating agencies; to make the collective faculty a more vital, dynamic, progressive force as it now is only at the departmental level; to bridge the growing chasm between the department that does the teaching and the institute that does the research, with the faculty member torn between; to make the old departments and divisions more compatible with the new divisions of knowledge; to make it possible for an institution to see itself in totality rather than just piecemeal and in the sweep of history rather than just a moment of time.<sup>87</sup>

#### Concluding Remark

It may be implied for what has been said about higher education, business, and government organizations that American colleges and universities fall within the following scale: on one end there is a type of educational institution totally committed to the satisfaction of present and local societal needs. As such it is completely devoted to the transmission of specialized skills to prepare an

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<sup>86</sup>Ibid., p. 101.

<sup>87</sup>Ibid., p. 120.



individual for an occupation. Furthermore, its research activities are completely based on short-run practical problems.

At the opposite end of the scale there is a type of university whose primary concern is the development of the individual total personality and the promotion of human understanding. Here, communication involves all kinds of influences toward the formation and exteriorization of values. Research is oriented to long-range theoretical objectives.

On such a scale, those higher learning institutions falling close to the first ideal type here described show many of the characteristics of business and governmental organizations. On the other hand, those colleges and universities approaching the opposite type are fundamentally different from other organizations.

## CHAPTER VI

### ORGANIZATIONAL ASPECTS, CHARACTERISTICS, AND PROBLEMS OF THE UNIVERSITY OF PUERTO RICO

The first part of this study has been concluded. What follows is an analysis of the annual reporting system for academic programs in operation at the Río Piedras Campus of the University of Puerto Rico.

This analysis is introduced by a general discussion of the organization of the institution; some facts concerning institutional size and rate of growth and expansion; and an interpretation of some of the most important problems affecting educational administrators and the faculty.

#### Organization and Curricula

The University of Puerto Rico is organized in three campuses: the Río Piedras campus, the Mayagüez campus, and the San Juan campus. The University also operates a Community Junior College as an institutional branch.

The University of Puerto Rico is governed, after the American pattern, by a Board of Trustees called the Council of Higher Education. The President, appointed by the Council, is the executive director of the University. The President's top management staff includes a Chancellor at the Río Piedras Campus; a Chancellor at the Mayagüez Campus; a Chancellor



at the San Juan Campus; and the Director of the Community College.

The University Law provides for two University Boards, one at Río Piedras and one at Mayagüez. Each Board is presided over by the Chancellor and is composed of the Deans of the different Schools and two Faculty Representatives. The University Boards formulate policies and regulations, which in some cases are submitted for approval to the Council of Higher Education.

The Academic Senates of Río Piedras and Mayagüez Campuses formulate programs and make recommendations about institutional policies relative to academic affairs.

Size, complexity, and geographical dispersion are three factors which make the administration of the University of Puerto Rico a large and complex undertaking.

During the first academic semester of the year 1965-66, the University had a total enrollment of 26,484 students distributed as follow:

Río Piedras Campus	19,063
Mayagüez Campus	4,790
San Juan Campus (School of Medicine and Dentistry)	579
Humacao Community College	945
Extramural Courses	<u>1,107</u>
Total enrollment	<u><u>26,484</u></u>

Conservative estimates indicate that by the year 1974-75, the enrollment will reach 50,000 students.<sup>88</sup>

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<sup>88</sup>Jaime Benítez, Report of the Chancellor to the Superior Educational Council: Program for the future, University of Puerto Rico, 1964, p. 10.



The University of Puerto Rico offers bachelors degree programs in the following fields: General Studies, Natural Sciences, Social Sciences, Humanities, Business Administration, Education, Home Economics, Physical Education, Pharmacy, Engineering, Architecture, Agronomy, Nursing, Physical Therapy, and Law.

Its graduate curricula include doctoral programs in Dentistry, Medicine, and Spanish, and master's programs in Chemistry, Mathematics, Biology, Nuclear Technology, Agriculture Radiological Physics, Public Health, History, Education, Public Administration, and Social Work.

In addition, the University of Puerto Rico offers special programs in labor relations, secretarial science, medical technology, technical institutes, and adult non-credit courses.

#### Size and Rapid Rate of Growth of the Río Piedras Campus

The oldest and largest campus of the University of Puerto Rico is the Río Piedras campus. Its enrollment for the academic year 1965-66 was 19,063 students. This represent 71 percent of the University's total enrollment. The growth at all levels experienced by this campus during the last 10 years has been remarkable. From 1956 to 1965, its total enrollment (first academic semester) increased from 15,176 to 19,063 students. Summer enrollment increased from 6,605 in 1955 to 10,443 in 1965. The total number of graduates (bachelor and master degree) has increased from 1,319 in 1956 to 2,499 in 1964. The growth of the teaching staff

has been hardly less spectacular. It increased from 723 in 1956 to 1,178 in 1965. It is expected that this rate of growth in all respects will continue in the future. For example University planners have predicted that by the year 1974-75, the enrollment in the Río Piedras Campus will top the 25,000 mark.

Quantitative growth on the Río Piedras campus is also reflected in the number of enrolled students per section. For example, during the first academic semester of 1964-65, class size statistics (all courses) for the College of General Studies, the College of Business Administration, and the College of Natural Sciences were as follow:

<u>College</u>	<u>Average</u>
College of General Studies	29.1
College of Business Administration	27.4
College of Natural Sciences	28.1

Highly diversified enrollment and large faculty result in large expenditures. Hence, it is not surprising to find that the operational budget of the Río Piedras campus (excluding central administration and scholarships) for the fiscal year 1965-66 amounted to \$15,209,339. Of the eight colleges, five have budgets exceeding one million dollars.

#### Characteristics and Problems

The University of Puerto Rico strives to combine services to the society it serves with the basic principles underlying true liberal education. However, caught under

the influence of the political and social movements which are transforming the economic and social structure of the island, the University of Puerto Rico is facing difficulties in achieving its stated goals. Generally speaking what can be considered liberal education is offered during the freshman year. After that, practically all the time and energy of the student is engaged in the mastering of professional skills or job-oriented knowledge. Under such conditions, the student has limited opportunity to know himself and to deal with the more pressing problems facing the world today and those which eventually will affect it.

The present orientation of the University of Puerto Rico, as previously described, is streamlined following the pattern of the rank and file of Continental universities. Accordingly, the Middle States Accrediting Association reports as follows: "The University of Puerto Rico is a land grant institution. As such one of its principal mandates, as is true of other similar institutions, is to relate itself as effectively as possible to the economic, and cultural development of the Commonwealth."<sup>89</sup>

The President of the University of Puerto Rico takes pride in saying that "the academic preferences of student body, as evidenced in registration, reflect social trends,

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<sup>89</sup>Committee Report of the Middle States Association on the Evaluation of the University of Puerto Rico (Mimeo, January 20, 1966) p. 2.

opportunities and economic pressures."<sup>90</sup> (See table on the following page). For the sake of clearness it is important to distinguish between student demands and student preferences. There may be occasions when a student demands something even though he may not be enthusiastic about it. In such situations, he may be pushed by his own or somebody else's limitations. Furthermore, his choice may be affected by circumstances such as pressure of time or limited alternatives.

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<sup>90</sup>Jaime Benítez, The University of Puerto Rico (Bulletin, Office of Information, U. P. R., 1960), p. 5.

TABLE 1

UNIVERSITY OF PUERTO RICO  
ENROLLMENT BY PROGRAM  
First Semester 1965-66

Program	:	:	per cent of
	:	:	the total
	:	1965-66	(13,423)
<hr/>			
<u>Regular Undergraduate Program</u>	:	:	
Business Administration	:	2737	20.4
Engineering	:	2484	18.6
Education	:	2473	18.5
Natural Sciences	:	1635	12.2
Social Sciences	:	1623	12.0
Humanities	:	918	06.8
Law	:	483	03.6
Home Economics (Education)	:	449	03.4
Pharmacy	:	267	01.9
Agriculture	:	216	01.6
Nursing and Occupational Therapy	:	138	01.0
<hr/>			
Total	:	13,423	100.0
<hr/>			
<u>Other Programs</u>	:	:	
General Studies (Basic Program)	:	3,106	-
Extension and Extramural Prog.	:	6,109	-
Regional Junior College	:	945	-
Post-High School Technical Prog.	:	177	-
Graduate Program	:	2,040	-
Others (Unclassified)	:	684	-
<hr/>			
Total	:	13,031	-
<hr/>			
GRAND TOTAL	:	26,484	-
<hr/>			

Source of Information: University of Puerto Rico - Office  
of Statistics - May 1966

From another point of view, the fact that student preferences and demands are in accordance with social or economic considerations does not necessarily mean that this is best for the over-all development of their potentialities. In conforming their preferences to societal demands, irrespective of their own personal considerations, the students may be sacrificing their individuality and uniqueness.

The quantitative expansion of the University of Puerto Rico has received ample recognition. The time is ripe now for a change of emphasis toward an improvement of quality.

In higher education, quality should be sought and promoted primarily in several interpersonal relationships: first, in the nature and intensity of the communication between students and teachers; second, the social, cultural and academic interchange among the students themselves; and third, the scholarly, harmonious exchange between and among the faculty (including educational administrators). Quality is also a function of research and scholarly work.

How to face the pressure of numbers without impairing quality has to be considered as one of the most important problems confronted by the educational administrators and the faculty of the University of Puerto Rico, and specifically the Río Piedras Campus. The pressure of numbers is reflected in an over-emphasis on regular academic programs. This situation becomes more evident during summer sessions. For all practical purposes, the summer session, although

reduced in length but concentrated in intensity, is just another regular academic semester or year. Hence, the possibilities of using it for experimentation, seminars, self-study, and scholarly work are very limited. Furthermore, the over-emphasis on regular academic programs oriented to a given academic degree tends to limit the ability of the university to reach the total personality of the student.

The increasing pressure of numbers on the Río Piedras Campus promotes also the occurrence of emergency problems and in consequence the proliferation of housekeeping activities. This may turn out to be a dysfunctional result, since the interest, talent, and energy of educational administrators could be diverted from the stated objectives of the institution. Since the University of Puerto Rico is committed to the education of a great number of students, a cut in enrollment cannot be considered as a possible solution to the previously stated problem. Other ways for solving it have to be found by educational administrators.

A real challenge for campus chancellors of the University of Puerto Rico is to avoid the negation of institutional purposes by forces within the University, especially during the time between planning and instituted change. On the other hand, it is the challenge of the President of the University and the Council on Higher Education to counteract external pressures working against University

purposes. Being the only state university on the island, the University of Puerto Rico has been subjected to strong pressures from legislators, public officers, the press, and several pressure groups.



## CHAPTER VII

### THE ANNUAL REPORTING SYSTEM AT THE RIO PIEDRAS CAMPUS OF THE UNIVERSITY OF PUERTO RICO

#### Reporting Structure

The annual reporting system in operation at the Río Piedras Campus of the University of Puerto Rico was established many years ago by administrative orders issued by the Office of the Chancellor of the University.

The structure of the annual reporting system is as follows: Department heads report to academic deans on the activities and problems of their units. After receiving departmental reports, academic deans report to the office of the President of the University and to the Office of the Acting Chancellor of the Río Piedras Campus. (By the time this study was made, the duties of the chancellor's position at the Río Piedras Campus were shared by the Dean of Administration and the Dean of Academic Studies). No annual report of the Campus Chancellor or President's Report of Progress is prepared. The last President's Report of Progress was submitted to the Council on Higher Education in 1957.

Reports cover the period from July 1 to June 30, that is a whole fiscal year. Most of the Dean's Annual Reports

are submitted to the above mentioned recipients approximately one month and a half after the established deadline.

#### Purposes, Evaluation, and Use of Reports

The primary purpose of the reporting system in operation is to inform top administrative officers of the activities carried out during the year at the departmental and college level. Deans and department heads use annual reports as a historical source of information about the specific problems of their units.

Executive assistants at the office of the University President and the Office of the Acting Chancellor of the Río Piedras Campus who are responsible for report evaluation state that they don't have either the time or the necessary means for this kind of job. Evaluation is here interpreted as a search for problems and outstanding events.

#### Method of Preparation, Content of Reports, and Form of Presentation

Preparation - Reporting instructions are issued by the office of the Dean of Studies. (See appendix B). Such instructions are transmitted forward to department heads. In addition, there are some forms to be filled out by individual professors. (See appendices C and D). In these forms, specific information about research projects, publications, and special lectures is requested.

Data received by the academic deans from other university units and used in reporting were limited to personnel

and financial matters.

Content of Reports - The list of topics used as a guide in the preparation of annual reports is as follows: outstanding events, changes in organization, changes in curriculum, number of graduates, improvement in teacher preparation, special research projects, extracurricular activities, publications, faculty meetings, problems and recommendations, and appendix.

Text and statistics (listing of items and events) are used in the presentation of the data with the emphasis on the statistical aspect. The following statistical data were included in the Annual Report of the College of Social Science for the period July 1, 1964, to June 30, 1965:<sup>91</sup>

<u>Description</u>	<u>No. of pages</u>
Academic roster of teachers	1 - 5
Improvement in the preparation of teachers	11
Personnel on leave	11 - 13
Public lectures	16 - 24
Other Activities (Seminars, Conventions, etc.)	25 - 29
Faculty Publications	30 - 32
Faculty Meetings	33
Appendix (Various Statistical Tables indicating enrollment, faculty load, and other data)	37 - 53

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<sup>91</sup>Annual Report of the College of Social Sciences, Río Piedras Campus, University of Puerto Rico, year 1964-65 (in the files of the Social Sciences Dean's Office).

The section of the reports dealing with problems is very brief (one or two pages). Furthermore, it mostly consists of statements concerning budgetary needs. Consider this example: "There is a shortage in administrative and clerical personnel. An increase of this type of personnel would increase teacher's productivity."<sup>92</sup>

The reporting of changes which occurred during the year at a given unit is limited to a very succinct description of facts. This point is made clear by the following illustration:

#### IV Changes in the Curriculum

New courses added to the curriculum

General Psychology  
Fundamentals of Psychopathology  
Group Dynamics  
Psychology of Minority Groups  
Human Relations in Industry  
Crucial Issues in Economics<sup>93</sup>

Presentation - College and departmental annual reports consist of mimeographed material. They include a covering page, a table of contents, and a transmittal letter.

#### The President's Report of Progress

Since 1957, no President's Report of Progress has been prepared at the University of Puerto Rico. The principal characteristics of the annual report prepared

<sup>92</sup>Ibid., p. 36.

<sup>93</sup>Ibid., p. 10.

in 1957 and submitted to the Council on Higher Education were the following: (1) massive content which consisted of ninety four pages; (2) profuse reference to statistical data; (3) description of major developments with specific recommendations and requests about various matters.

In the following table, the President's Report of Progress of a private american university (Cornell University) and the Annual Report of a public university are contrasted with the President's Report of the University of Puerto Rico for 1957.

Characteristic	:University : of : Puerto Rico	: Michigan : State : University	: Cornell : University : (Private)
(1) bulky document	: Yes	: No	: No
(2) Emphasis on the presentation of statistical data	: Yes	: No	: No
(3) Specific recommen- dations and re- quests on various matters	: Yes	: No	: No
(4) Use of visual aids and pictures in the presentation of data	: No	: Yes	: Yes

## CHAPTER VIII

### SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

#### The Problem:

This study is concerned with the following problem: How annual administrative reporting (academic programs) at the Río Piedras Campus of the University of Puerto Rico can be made to serve best in the solution of the most important problems confronted by educational administrators at all levels of the organizational hierarchy.

#### Research Design:

The investigative procedure is divided in two parts. First, a review of reporting principles and techniques, and a comparison of administrative aspects in higher education, government, and business organizations. Secondly, an examination of the annual reporting practices of the academic deans and department heads within the Río Piedras Campus, including the action taken by the recipients which in this case are the President of the University and the Acting Chancellor of the Río Piedras Campus.

The sources of information used included the following: (1) departmental and annual college reports submitted during the years 1963-64 and 1964-65 and (2) interviews conducted with academic deans, department heads, faculty

members, and top university officers.

Results: First Phase of the Study

Reporting Principles and Techniques - According to experts in administration, a reporting system should serve management in the following ways: to evaluate executive competence; to facilitate the use of experience in making decisions and planning; to gain in public understanding; and in general, to promote communication between the various levels of the organizational structure, and between the organization and the community.

To best serve the above purposes, an administrative report should have the following characteristics:

1. The report should be objective-oriented.
2. The report should be comparative. Information should be presented in comparison with past activity, plans, performance of others or some other criteria.
3. The report should give proper emphasis to the matters requiring administrative attention or action.
4. The report format and presentation should attract the attention of the recipient.  
It should be brief and adequately illustrated with charts and pictures.
5. The report should be presented on schedule.

Annual Reporting at Higher Education Institutions -

The reporting process as it occurs in colleges and universities is basically oriented around the preparation of the Annual Financial Report and the President's Report of Progress. In considering possible ways of improving administrative reporting practices in higher education institutions, the university administrator has to depend solely on (1) what has been written regarding business and government reporting that is applicable to college and university administration and (2) on his own investigations in the field.

University administrators are becoming increasingly aware of automatic data processing equipment as an important tool in university administration, including the reporting process.

Administration in Higher Education - University administration, is very much concerned with three major administrative policies: (1) choice of fields, (2) selection of "competitive level," and (3) determination of the rate of expansion. It has to be decided what fields the institution should cover: medicine, law, engineering, humanities, etc. In selecting a "competitive level" decisions have to be made stating the requirements for admission, as well as general requirements for degrees and certificates. On the other hand, if high standards of achievement are going to be maintained, the provision of high quality human resources, and the necessary equipment and materials are here--as in



business and government--a matter of highest priority. Determination of the rate of expansion has to do with the number of students to be admitted, and the establishment of new campuses, junior colleges, or off-campus programs.

In dealing with the above three policies, top administrators everywhere have heavily relied on information produced by people more directly involved in the technical process of the organization.

It may be argued that the problems confronted by university administrators are, in a sense, essentially different from those usually faced by administrators in business and government. This is not surprising considering that the substantive objectives and technical processes of these organizations differ drastically from each other. For example, a lack of communication between and among the members of the academic community is a peculiar university problem. And the same can be said of the challenge that some environmental pressures present to both administrators and the faculty. However, such a situation does not make any difference. Administrators in higher education, as well as administrators elsewhere, will find in the information produced at the lower levels of the organization a rich source of ideas and plans.

#### Results: The Second Phase of the Study

The Río Piedras Campus and Its Problems - The University of Puerto Rico is a land-grant institution organized

in three campuses. As such it strives to combine services to the society it serves with the basic principles underlying a true liberal education.

Size, complexity, and geographical dispersion are three factors which make the administration of the University of Puerto Rico a large and complex undertaking.

The Río Piedras Campus is the oldest and largest campus of the University of Puerto Rico. Its enrollment for the first semester of the academic year 1965-66 was 19,063 students. This represents 71 percent of the University's total enrollment. Highly diversified enrollment results in large expenditures. Of the eight colleges of the Río Piedras Campus, five have budgets exceeding one million dollars.

The achievements of the University of Puerto Rico concerning quantitative growth and expansion has received ample recognition. The time is ripe now for a change of emphasis toward an improvement in quality. Quality is a function of communication, reflection, and research.

How to face the pressure of numbers without impairing qualitative growth has to be considered one of the most important problems confronted by the educational administrators and the faculty of the University of Puerto Rico. At the Río Piedras Campus, the pressure of numbers is reflected in an over-emphasis on regular academic programs. It has been also reflected in a proliferation of housekeeping activities. The first tends to limit the ability of the University to reach the total personality of the student. The

second tends to put undersirable pressure on the time, energy, and talent of both educational administrators and the faculty.

Reporting Practices at the Río Piedras Campus: The annual reporting system (academic programs) at the Río Piedras Campus operates as follows: department heads report to academic deans on the activities and problems of their units. After receiving departmental reports, the college deans report to the office of the University President, and the office of the acting chancellor of the Río Piedras Campus. The reporting process practically ends with the submission of colleges' annual reports to the above mentioned recipients. Neither an annual report corresponding to the activities of the Río Piedras Campus nor an annual report of the whole institution (President's Report of Progress) is prepared.

Departmental and college annual reports are used as historical sources of information.

Text and statistics (listing of items and events) are used in the presentation of the data, but the emphasis is on the statistical aspect. Little emphasis is placed on the discussions of problems and changes. Furthermore, in many cases the information given about a problem is just an inventory of material needs very similar to budgetary requests.

In the preparation of annual reports, reporters are practically limited to sources of information within their

own units. The electronic data-processing center of the campus plays a very insignificant role in the preparation, consolidation, and evaluation of reports.

There is no formal process for evaluating reports. Hence, there is no feed back from one level of the organization to another.

### Conclusions and Recommendations

The defects of the annual administrative reporting practices (academic programs) at the Río Piedras Campus of the University of Puerto Rico become evident as these practices are considered against a framework of reporting principles and techniques--as well as in relation to the principles of administrative communication in higher education. Obviously, the identification of defects is the first step toward their correction or elimination.

Most of the defects which have been found from the examination of the reporting system in operation at the Río Piedras Campus may be said to be partial expressions of the following one: present annual reporting practices are not satisfying the most important needs of educational administrators. That is to say, the present reporting system operates as an end in itself. If the reporting process is going to serve the most important needs of educational administrators, some changes in the reporting status, reporting structure, reports' content and form of presentation, sources of information, and evaluation structure have to be made.

### Formal Status

Executive reporting is a process closely related to the official behavior of persons in an administrative situation. Therefore, it should be as formalized as possible. University by-laws should make clear the purposes and general structure of the reporting system of the institution.

### Reporting Structure

The annual reporting process should begin with a consideration by all interested parties of university policies and of those methods and directives which are going to be in operation for the first time during the reporting period. This refers to such matters as admission and curriculum policies, teaching methods, or new administrative orders and regulations. However, such action presupposes that communication of policies and directives through all levels of the organizational structure has been adequately accomplished.

The reporting structure should include the preparation of the following over-all annual reports: (1) the annual report of the Chancellor of each campus, (2) the annual report of the University usually called the President's Report of Progress, and (3) Special Annual Report of the Council on Higher Education.

### Content and Form of Presentation

Considering the size of the Río Piedras Campus, as well as the diversity and complexity of its operations,

the preparation of annual administrative reports on this campus must follow the principle of reporting by exception. In the last analysis, reporting by exception means that the report should give major emphasis to matters requiring administrative attention or action. It also implies that information or data that recipients could get in a more accurate form from other sources should not be included in annual reports.

Deans' annual reports should concentrate on the description and explanation of problems and relevant changes. Problems, if possible, should be related to trends and future events. In reporting problems, one should avoid confusion with budgetary requests. Going into detail about specific material needs (personnel, space, equipment) is a function of the budgetary process and not of the annual reporting system.

There is a place for discussion of possible solutions of problems in the annual reports. If the proposed solution demands the establishment of a new program, the following information should be provided: Why the proposed program is considered as the best alternative solution to the stated problem? Why the program is needed? If implemented, what results are considered as satisfactory? How is the program related to other activities of the school? What would be the difficulties involved in implementation? How these could be effectively faced?

It is very important to know what changes are taking place in a given unit. However, the mere listing of "changes" tells very little about how these relate to progress or failure. In reporting changes, it is important to provide an answer to questions such as: Why the change was made? Why is it considered a change and not a mere addition or substitution? Is the change or addition a part of an overall plan? What does it represent in terms of the use of available resources such as money, personnel, physical facilities, and time?

#### Report Evaluation

Annual reports at the Río Piedras campus of the University of Puerto Rico suffer from a lack of formal and continuous evaluation. Obviously, without evaluation, reporting becomes an end in itself. Evaluation involves the search for relationships and associations between the various plans, programs, and activities in operation. It makes people reflect not only on what is done and how, but why. Evaluation provides a theoretical base for correction and change. In evaluating, people improve their faculties and abilities for critical thinking. In fact, evaluation is what makes of reporting a rational process.

The examination of reporting practices at the Río Piedras campus has shown that administrative assistants at the offices of the President and the office of the Acting Chancellor of the Río Piedras campus do not have either

the time or the inclination for report evaluation. Therefore, somebody else in the organization should be made specifically responsible for this kind of job.

The evaluation officer should see that reporters receive agreed-upon information from the electronic data processing center of the institution. He would also provide technical help and assistance in the preparation of reports.

Once deans' annual reports are submitted to the recipients' offices, the evaluation officer would make a summary of the reports' highlights. This summary should include over-all comparisons, comments, questions, and an appendix containing statistical data relevant to the reports' main topics. It should be submitted to the campus chancellor.

The evaluation officer should take positive steps for action in those areas needing it according to the annual reports. (This may refer to routine matters calling for standardized action).

#### The President's Report of Progress

In order to be complete and comprehensive, the annual reporting process of the University of Puerto Rico should include the preparation of a President's Report of Progress to be submitted to the Council of Higher Education.

In order to facilitate evaluation and further action the President's Report of Progress should be centered around



a selection of a few major developments and problems. The use of statistics in the report's body should be kept to a minimum. Whenever possible, the information should be related to institutional objectives and policies.

The President's report should attempt to relate the past, the present, and the future. Causes or factors influencing past and present events should be disclosed. Predictions of important developments substantiated by intelligible facts should be made.

The President's annual report, once submitted to the Council of Higher Education, should be made available to the whole university community. But it should not be submitted to governmental authorities, since it does not necessarily reflects the council's opinion on various matters.

Taking into consideration the President's Report of Progress, the Council on Higher Education should prepare a special report to be submitted to the executive and legislative branches of the government. This document should also be made available to the university community.

#### Reporting and Electronic Data Processing

As stated before, data processed by the electronic data processing center of the Río Piedras Campus should be made available for use in the preparation of reports.

However, for effective cooperation, deans, department heads, and the systems analysts should work together in the determination of the college's information needs. The

point is not to provide a huge mass of facts but to provide the information agreed upon which would be helpful to the reporters. For example, statistical data concerning the number of dropouts may help deans and department heads to be aware of the existence of certain problems.

### Summary of Conclusions and Recommendations

In summary, an examination of the reporting system at the Río Piedras Campus of the University of Puerto Rico has revealed that administrators of this institution do not use annual reports, to a degree at least, to measure performance against established objectives; to estimate future needs and to plan for them; to control, and in general to make a better use of their time, energy and talent. In consequence, the annual reports have not proven to be an adequate basis for debate and analysis toward planning institutional growth in all respects.

In order to increase the effectiveness of reporting as an instrument for better administration, changes have to be made concerning the report's official status, its content, the organization and method for evaluation, and the relation of the annual reporting system to other information processes of the institution.

In increasing the significance and understanding of annual reports at the Río Piedras Campus, the emphasis on the report's content has to be changed from a mere listing of items and events (isolated facts) to the description and explanation of problems, changes and trends, including

proposals or alternative solutions in specific cases. On the other hand, it should be recognized that the examination or evaluation of reports is a full-time job requiring specialized training or experience in the management of data.

SOME SUGGESTIONS FOR  
A TOP MANAGEMENT APPROACH TO ANNUAL REPORT  
IMPROVEMENT IN HIGHER EDUCATION

Educational administrators in colleges and universities will add to their administrative abilities for decision-making, control and evaluation, if they know what they have done, how they have progressed, and what are the most significant operating deficiencies and problems affecting their work. Items of interest for department heads and deans may also be of interest for the President of the University, Campus Chancellors, and other top academic administrators, including faculty legislative bodies. The reason is obvious. It is essential to know if the objectives, programs, and methods of the various organizational subdivisions are in consonance with the overall objectives and policies of the institution. All this implies the organization and manipulation of data in every level of management or supervision in order to produce an interrelated body of useful data or information. One way in which this is accomplished is by the operation of an annual reporting system.

The right top-management approach to administrative annual report improvement in Higher Education should be a fundamental attack on the whole report problem. In order to do this, three things are necessary:

First, understand the purposes of the institution. Then, have a clear picture of its organizational structure, including some knowledge of the degree of participation of every unit in the planning and control of the basic institutional policies. In higher education, these policies relate to the quantitative and qualitative growth of the institution in all its multiple aspects--for example, programs, methods, program arrangements, extra-curricular activities, faculty development, and quantity and characteristics of the student body. This knowledge is necessary in order to know (1) the specific purposes the reporting system is going to serve; (2) the required performance standards; (3) the nature of the flow of reports within the organization; (4) the different kinds of reports that should be produced; and (5) the location of the emphasis in the report's content.

Finally, the right approach to annual report improvement in higher education should consider the establishment of organized procedures for the evaluation of reports. This involves analysis, synthesis, and dissemination of information in accord with established objectives. One basic reporting principle is crucial in evaluation: it should be recognized that relationships and not summation or listing of individual events, items, or activities determine the quality of an administrative annual report.

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## APPENDIX A

## APPENDIX A

### QUESTIONS ASKED DURING THE INTERVIEWS

At the top Management Level (Office of the President, Office of the Dean of Studies, Office of the Dean of Administration)

1. What is the present academic organization of the university? What function or purpose does the organization serve?
2. What kind of planning is being done?
3. What regular College Reports are required in the organization? What is the schedule for the preparation and submission of annual reports? Are there any instructions concerning the substance, presentation, form, and size of annual reports?
4. Who is responsible for analyzing, interpreting, and summarizing the information contained in annual reports? What is the procedure involved in the evaluation process? What problems are present in the evaluation? What action is taken after the evaluation is completed?
5. Is an Annual Institutional Report being prepared? What is its purpose? Are College Annual Reports used in the preparation of the Annual Institutional Report? What other institutional progress reports are required in the organization?

6. Are the existing annual reports adequate? Do they result in any action affecting the institution as a whole, as well as the different organizational units?

At the College and Departmental Level

1. How is the unit organized? What function or purpose does the organization serve?

2. What kind of planning is being done? What kind of standards are used in the planning process?

3. Do communications flow readily through all channels of the organization? Are official decisions clear and precise? What kind of information is received from higher levels and staff units?

4. What regular reports are required in the organization? What is the purpose and use of each? Are there any policies or instructions concerning the preparation and presentation of annual reports? Who participates in the activities of record keeping and preparation of annual reports? What problems are present in carrying out this activity?

5. Are the existing annual reports adequate? Do they result in any action affecting the reporter's units?

## APPENDIX B

APPENDIX B

UNIVERSIDAD DE PUERTO RICO  
Río Piedras, Puerto Rico  
Oficina del Decano de Estudios

16 de junio de 1964

MEMORANDUM

A : Decanos, Directores de Departamentos y Divisiones Administrativas

De : Sebastián González García  
Decano de Estudios

Asunto: Informe Anual

Deseo recordarles que es tiempo para el envío del Informe Anual correspondiente al año académico 1963-64. Es conveniente que dicho informe nos sea referido en o antes del día 15 de julio próximo.

A las oficinas que enviaron un informe semestral correspondiente al primer semestre, sólo se les solicita un informe que cubra los últimos seis meses del año académico.

Incluyo dos pliegos con observaciones que espero serán de ayuda en la preparación del referido documento, del cual deberán enviar original y dos copias.

elgo

Anexos

## APPENDIX C

## APPENDIX C

UNIVERSIDAD DE PUERTO RICO  
Facultad de Ciencias Naturales  
Oficina del Decano

INFORMACION DE ACTIVIDADES DE PROFESORES DURANTE EL PERIODO  
DEL 1ro. DE JULIO AL 30 DE OCTUBRE DE 1964

Nombre \_\_\_\_\_ Departamento \_\_\_\_\_  
Dirección \_\_\_\_\_ Rango Académico \_\_\_\_\_  
\_\_\_\_\_ Grado Académico  
más alto \_\_\_\_\_  
Teléfono residencia \_\_\_\_\_ Universidad donde  
obtuvo el grado \_\_\_\_\_

I. Conferencias que no estuvieron auspiciadas por la Fundación Nacional de Ciencias, dictadas durante el período:

II. Visitas oficiales hechas y propósito:



III. Publicaciones hechas durante el período: (Indique título de la publicación y la revista con el volumen, páginas y año de publicación).

IV. Investigaciones que se están llevando a cabo. Indique si están terminadas.

V. Honores recibidos: (Incluya aquí cualquier ascenso en rango).

NOTA: Le agradeceremos envíe esta información a la Oficina del Decano en o antes del 5 de noviembre de 1964.

## APPENDIX D

APPENDIX D

UNIVERSIDAD DE PUERTO RICO  
Facultad de Administración Comercial

INFORME DE ACTIVIDADES

Profesor \_\_\_\_\_ Semestre \_\_\_\_\_

Departamento \_\_\_\_\_ 19\_\_\_\_-19\_\_\_\_

I. ACONTECIMIENTOS SOBRESALIENTES

A. Actividades de carácter Nacional e Internacional

\_\_\_\_\_  
\_\_\_\_\_

B. Actividades del Punto Cuarto \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

C. Servicios al Gobierno \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

D. Servicios a Empresas \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

E. Otros \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

II. MEJORAMIENTO EN PREPARACION ACADEMICA

A. Grados obtenidos \_\_\_\_\_

B. Cursos tomados con crédito no incluidos en grados  
obtenidos \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

C. Viajes \_\_\_\_\_

- D. Convenciones \_\_\_\_\_  
\_\_\_\_\_
- E. Seminarios \_\_\_\_\_
- F. Otros \_\_\_\_\_  
\_\_\_\_\_
- III. PUBLICACIONES \_\_\_\_\_  
\_\_\_\_\_
- IV. INVESTIGACIONES \_\_\_\_\_  
\_\_\_\_\_
- V. TITULOS O DISTINCIONES RECIBIDAS \_\_\_\_\_  
\_\_\_\_\_
- VI. a. CONFERENCIAS PUBLICAS DICTADAS \_\_\_\_\_  
\_\_\_\_\_
- b. Comités \_\_\_\_\_
- c. Asociaciones Profesionales \_\_\_\_\_  
\_\_\_\_\_
- d. Otras actividades culturales-profesionales \_\_\_\_\_  
\_\_\_\_\_
- VII. INFORMACION ADICIONAL \_\_\_\_\_

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