

Learning to Lead

Building a World-Class
Public University
in Massachusetts



The Report of the Commission
on the Future of the University

University of Massachusetts

March 1989

Members of the Commission

Dr. David S. Saxon, Chair
*Chair, MIT Corporation; President Emeritus,
University of California*

The Honorable Richard L. Banks
First Justice, Roxbury District Court

The Honorable Walter J. Boverini
Majority Leader, Massachusetts Senate

Mr. James F. Carlin
*Chairman, Carlin Consolidated, Inc.; Trustee,
University of Massachusetts*

Dr. Jill K. Conway
President Emeritus, Smith College

Dr. Sally L. Dias
Superintendent, Lynnfield Public Schools

Mr. Paul S. Doherty, Esquire
*Doherty, Wallace, Pillsbury & Murphy;
Member, Board of Regents of Higher
Education*

The Honorable Joseph D. Early
Member of Congress

The Honorable Charles F. Flaherty
*Majority Leader, Massachusetts House of
Representatives*

Dr. LeRoy Keith, Jr.
*President, Morehouse College; former
Chancellor, Massachusetts Board of Higher
Education*

Mrs. Betty K. Knowles
*Artist-Owner, Studio One; Teacher-Lecturer;
former Trustee, University of Massachusetts*

The Honorable Evelyn F. Murphy
*Lieutenant Governor of the Commonwealth of
Massachusetts*

Dr. Barbara W. Newell
*Regents Professor, Florida State University;
former Chancellor, State University System of
Florida; former President, Wellesley College*

Mr. Edward E. Phillips
CEO and Chairman, the New England

Mr. Charles V. Ryan, Sr., Esquire
Former Mayor of Springfield, Massachusetts

Dr. John W. Ryan
President Emeritus, Indiana University

Mitchell W. Spellman, M.D.
*Dean, Medical Services, Harvard Medical
School*

Mr. Ray Stata
Chairman and President, Analog Devices

Dr. Henry R. Winkler
President Emeritus, University of Cincinnati

Commission Staff

Dr. Mortimer H. Appley
*Executive Director
(President Emeritus, Clark University)*

Dr. Sandra E. Elman
*Associate Director
(on loan from the McCormack Institute of
Public Affairs and the New England Resource
Center for Higher Education, University of
Massachusetts at Boston)*

Mr. Bryan C. Harvey
*Senior Policy Analyst
(on loan from the Office of Institutional
Research and Planning, University of
Massachusetts at Amherst)*

Mr. Mark P. Horan
Consultant to the Commission

Ms. Daphne Layton
Staff Associate

Ms. Denise Kravetz
Administrative Assistant

Preface

The charge to the Commission on the Future of the University was "to examine and make recommendations on the future role of the University of Massachusetts in the Commonwealth, its governance and financing."

The Commonwealth is at a critical juncture in its economic and social evolution, and the University's future will be shaped by its response to the state's new challenges. In this it does not act alone. The University of Massachusetts is part of a larger system of public higher education, and the University's success will depend in large measure on the strength of the system as a whole: community colleges, state colleges, and universities. The Commission found the future of the University of Massachusetts to be linked especially closely with those of the state's two other public universities, Southeastern Massachusetts University and the University of Lowell. This report reflects those close ties and emphasizes the opportunities which the five public university campuses hold in common.

Some of the recommendations included in this report will require legislative action, while others involve decisions of the Board of Regents of Higher Education, the University of Massachusetts Board of Trustees, and other bodies. They are all, however, directed to the same purpose: building a world-class public university in Massachusetts.

The Challenge for Massachusetts

1

Since World War II, few states have rivalled Massachusetts in terms of economic growth or the prosperity of its people. In a single generation, the state replaced a dying economy of shoes, textiles, fishing, and manufacturing with an array of knowledge-based industries which propelled it to the leading edge of international competition.

But as it approaches the new century, Massachusetts is fast becoming the victim of its own success.

Over the past decade or two, while Massachusetts was mastering one wave of technological change, others were mobilizing to meet the challenges of the next. The emerging industrial powers of the Pacific Rim now threaten American leadership in a broad range of industries. In 1992, a united Europe will overnight become the largest economic force in the world. Here at home, other states are gearing up to take Massachusetts' place on the cutting edge of economic change.

Massachusetts is not responding vigorously enough to these growing challenges. Unlike the leading industrial nations, and alone among the industrial states, Massachusetts has failed to recognize that its system of public education is one of the keys to continued strength. The state has assumed that the advantages which created its recent prosperity – world class private universities and a well-educated citizenry – will be sufficient for the even sterner competition ahead. They will not. Demand for creativity is so intense that expanding industries like software development and biotechnology do not know

As it approaches the new century, Massachusetts is fast becoming the victim of its own success.

where to find their next generation of innovators. Nor is the pool of broadly educated citizens growing fast enough to meet the new economy's demands.

The cost of such complacency – in terms of both economic growth and personal opportunity – is high, and will soon become unacceptable. In order to meet the challenges ahead, we believe Massachusetts must build a world-class *public* university.

Why a World-Class Public University?

The Commission realizes that calling for a world-class public university in Massachusetts will seem to some a radical notion. The state, after all, has an international reputation for the distinction of its private colleges and universities. Of the handful of true leaders in higher education, two – Harvard and MIT – are located in Massachusetts. But even the great strength that these and other private institutions provide will be insufficient to meet future demands. In calling for a world-class public university, the Commission's findings focus on three important needs:

FINDING: The existing system of higher education cannot meet the state's growing need for broadly educated workers, and for the creation of new knowledge.

The "Blueprint 2000" report, recently released by Lt. Gov. Evelyn Murphy, predicts that Massachusetts will produce 300,000 more jobs than workers by the end of the century. Many of these new jobs will demand

the sophisticated knowledge and skills acquired only in a university. Many of them will be created in the climate of innovation which surrounds world-class universities.

But while the state's needs are growing, its private institutions are not. Moreover, the focus of many of these institutions lies beyond the borders of Massachusetts. Harvard and MIT, for example, are not "Massachusetts" universities in any but the geographic sense. They are truly international in their reputations and interests, and they educate relatively few Massachusetts citizens (16% at Harvard, 10% at MIT). Most of their graduates leave the state once their education is complete.

The state's public universities, on the other hand, make their contributions directly to Massachusetts. The great majority of their students – 82% at UMass/Amherst, 94% at UMass/Boston, 99% at UMass/Worcester, 92% at ULowell, and 97% at SMU – are the sons and daughters of Massachusetts. When they graduate, most of them stay and contribute to the state's continued growth. The public campuses also bring millions of dollars into the state each year in the form of research grants, adding to the store of new knowledge and stimulating local industry.

FINDING: The current educational system in Massachusetts does not have the capacity to address the state's growing "opportunity crisis."

The population of Massachusetts is not growing, but it is changing in ways that present new challenges for

Massachusetts. Already, low income and minority students – groups that have traditionally not had access to higher education – are making up a larger proportion of the potential applicant pool. For New England as a whole, the Black population grew 22 percent between 1970 and 1988, and the Hispanic population swelled by 106 percent. By contrast, the white population grew by less than two percent. Because the state's minority populations are concentrated in communities with increasingly troubled school systems, an increase in minority participation in higher education will be hard to achieve. And it is not only minority and immigrant students who find the system failing them. More than one-quarter of Massachusetts high-school students – most of them white – drop out of high school before graduation.

While the state's public and private institutions have increased minority enrollment in the past two decades, not enough is being done to bring more minority and low-income students into the academic mainstream. It is clearly the role of the state's *public* universities to ensure that a larger number of minority and low-income students achieve academic success at the university level.

FINDING: Massachusetts urgently needs leadership in public education at all levels.

It is widely acknowledged that many of the public schools are not performing at the level required to meet the state's changing economic and social needs. The Commission believes that a strong public university is central to the effort to improve

*The University cannot wait
for the state to lead: it must
challenge the state to keep up.*

public secondary and primary schools, especially those in troubled urban centers. As the state's largest producer of public school teachers, its largest consumer of public school graduates, and one of its greatest sources of educational expertise, the University has the capacity and the obligation to effect change throughout public education. A world-class public university can set standards of excellence which will challenge students and teachers at all levels. It is difficult to imagine how the state's overall educational system can aspire to be any better than its public university.

Building a World-Class Public University

Building a world-class public university, however, will be a major undertaking. Many states have embarked on that road, but very few have reached their destination. For the University of Massachusetts, we believe that the journey must begin with the clear, unequivocal commitment of the Commonwealth – its people, its government, and its private institutions. Frank Newman, president of the Education Commission of the States, has observed that "by far the most important ingredient of a successful effort to build a university of high quality is a common aspiration to that end." We agree. But in visiting the campuses, talking with public officials and education leaders, and traveling around the state, we have heard time and again the complaint that Massachusetts is not "committed" to excellence in its public university.

That may be so. But if commitment has been difficult to attain, the University must bear some responsibility for its absence. Former Yale President A. Bartlett Giamatti has warned that "of all the threats to [universities], the most dangerous come from within. Not the least among them is the smugness that believes the institution's value is so self-evident that it no longer needs explication, its mission so manifest that it no longer requires definition and articulation." This caution should have special force in Massachusetts, where the public universities are only part of a much larger education enterprise.

The University cannot wait for the state to lead: it must challenge the state to keep up. In this report, the Commission notes many obstacles to the University's development, and proposes solutions to some of the most important of them. But we also believe that the University's leaders – its trustees and senior administrators – have at times been too timid in their advocacy, too willing to allow the very real obstacles which confront them to dampen their resolve and lower their aspirations. These obstacles are not insurmountable, however, and resolute action now can give the University the opportunity to reach its full potential.

Each of the five public universities has a unique and important mission: UMass/Amherst is a traditional comprehensive research campus with quality faculty in a broad range of disciplines; UMass/Boston is a vibrant campus with a unique urban mission and a growing but more targeted research capacity;

in just 20 years, UMass/Worcester has become a major medical center with a growing national reputation in biomedical research; the University of Lowell is a fast-rising institution with a strong technology orientation; and Southeastern Massachusetts University is an emerging regional campus of great potential.

But while each campus has a distinct mission, we do not believe any one of them – even the state's oldest and largest campus in Amherst – can by itself muster the political will necessary to move into the front ranks. However, if the five university campuses – which cover a broad geographic base and serve many of the state's critical needs – can be brought together, they can forge a common agenda and build the commitment necessary to fulfill their promise.

The Structure of a Great University

4

When Massachusetts reorganized public higher education in 1980, it was seeking to accomplish several purposes: to bring central control to a poorly coordinated system; to respond to demographic change, especially a predicted decline in 18-year-olds; and to halt or reverse the growth the system had experienced since World War II. Nine years later, the Commission finds that these objectives have largely been achieved. The Regents have forged a uniform budget process for the system, and have created a statewide system for reporting admissions, enrollment, and other institutional data. They have adopted statewide minimum admissions standards, and have opened a debate on integrating tuition and financial aid policies. They have controlled the growth of the system, closing one campus and channeling capital requests for the others into a single statewide process. They have given the Executive branch greater influence over policy and budgetary decisions.

Reorganization, however, had an additional and deeper purpose. Some hoped that the Regents, with their strong central authority, could forge consensus on the future direction of public higher education, to unify the system around a set of organizing principles larger than the demographic imperatives which drove its development for so long. But nine years later, consensus on the mission of the system and its components remains elusive.

And in nine years the stakes have been raised for Massachusetts. The state's new challenges demand enterprise and vision from its public

campuses, and we believe a structure designed to increase centralized control is not likely to spark the kind of initiative the state now needs. The Commission therefore examined the current structure in the context of building a world-class public university.

Criteria for Successful Governance

There is no formula for building a great public university. Truly distinguished institutions have emerged from many different traditions and structures, and it is clear that a state

A structure designed to increase centralized control is not likely to spark the kind of initiative the state now needs.

can follow more than one path in seeking to make its public university one of the very best.

But this does not mean that *any* path will take Massachusetts to its destination. After studying organizational structures from around the country, the Commission notes that no state has built a world-class public university using the model currently in place in Massachusetts.

The successful experiences of other states can be helpful, however, in thinking about the direction in

THE EVOLUTION OF PUBLIC HIGHER EDUCATION IN MASSACHUSETTS

Massachusetts came late to the development of public higher education. Although the first public campus in America – the current Bridgewater State College – was established in Massachusetts in 1840, at the end of World War II the public system was still in its infancy, consisting of a small state college (with aspirations to become a university) and a handful of teachers' colleges.

When growth came, however, it came rapidly. First the returning GIs, and then their college-aged sons and daughters, created a demand for classroom seats that the state's private institutions could not meet. In only a score of years, the state quadrupled the size of its main public university campus, added new urban and medical campuses to form a university system, forged two other freestanding universities, updated the old teachers' colleges, and cut out of whole cloth a statewide system of community colleges.

Growth in public higher education was the rule throughout the country during this period, but nowhere was the change more dramatic than in Massachusetts.

Growth came, for the most part, in good times, and was triggered by powerful demographic trends. By the seventies, however, conditions had changed. The state faced a serious economic slowdown, and public spending came under increased scrutiny. Moreover, the demographic tide was turning, and by the end of the decade the seemingly endless waves of Baby Boomers had begun to recede. Before the paint had dried on the last projects of the public campus building boom, expansion had turned into retrenchment.

The sudden change was in part attributable to the state's underlying attitudes about higher education. Massachusetts expanded its public sector to educate the Baby Boom, but in so doing did not abandon a fundamental faith in the private sector. Moreover, the public sector's growth had come without a master plan or a unifying vision, and attempts to coordinate the unwieldy system – including the creation

The Commission notes that no state has built a world-class public university using the model currently in place in Massachusetts.

which Massachusetts should move. California, for example, which is widely understood to have the strongest public university in the country, built its system within a master plan which emphasizes governance at the "sector" level. Institutions with similar missions are organized together, and a sector board – such as the Board of Regents of the University of California – provides a context in which individual campuses can draw on common strengths. A separate state-wide coordinating board addresses issues which cut across the sectors.

of a coordinating Board of Higher Education (BHE) in 1965, proved unsuccessful.

In the context of tight budgets and a declining college-aged population, the campuses seemed overbuilt and out of touch, and even outspoken advocates of public higher education began to consider various "reform" measures. Several reorganization studies had faltered when, in 1977, legislation was passed creating a Commission for the Reorganization of Higher Education. But the Commission was slow in reaching full membership and staffing, and by the spring of 1980 had only begun its work. By then events were moving more quickly than the Commission. The House of Representatives proposed, as part of the state budget, a reorganization plan calling for a statewide governing board with broad authority over all campuses. During a long night of budget debate in April, 1980, the plan was adopted, and a modified version was passed by the Senate and signed into law by the Governor. Literally overnight, Massachusetts traded weak coordination for strong governance at the statewide level.

The Commission also notes that both California and Michigan (another leader in public higher education) are among the states whose public universities are established in the state constitution. This special status has, we believe, helped them to maintain their independence and build their strength over the years.

In examining the experiences of Massachusetts and other states the Commission identified some criteria by which to judge different organizational approaches. Although many factors determine the success of a governance structure, the Commission focused on three primary concepts:

- **Differentiation.** Institutions of higher education cover a broad spectrum of purposes, functions and activities. The governing structure should clearly differentiate the institutions, and give sharp focus to issues at their appropriate level. It would make little sense for a community college, for example, to debate the acquisition of a particle accelerator, or for a university to devote a major portion of its attention to two-year vocational programs. Yet the structure must provide some forum in which both issues can sensibly be addressed. The structure must also provide the means to address issues that cut across the different types of institutions.
- **Voice.** The structure must provide for a strong, independent voice at each level: campus, sector, and statewide system. For the university – which recruits

and competes in a national and even international context – the ability to argue its case distinct from other interests in higher education or government is especially important. An effective governance structure can give strength to these different voices, but if the structure requires campuses to compete for attention in a general din then no clear voice – at any level – is likely to emerge.

- **Empowerment and Accountability.** Finally, the structure must *empower* decision-makers at each level to act and to be held accountable for their actions. To do this, *responsibility* and *authority* must be located at the same point. The university operates at the leading edge of knowledge, and must be able to respond to rapid change. It is therefore important that authority reside as close to the point of action as possible. If the structure permits decision-making to become too far removed, then management becomes tentative and accountability diffuse.

The Current Structure

How does Massachusetts measure up in terms of these criteria? In discussions with observers from all parts of the state, and of widely varying perspectives, the Commission encountered many different points of view. On at least one question, however, we found general agreement: with respect to the University of Massachusetts, the current structure is seriously flawed.

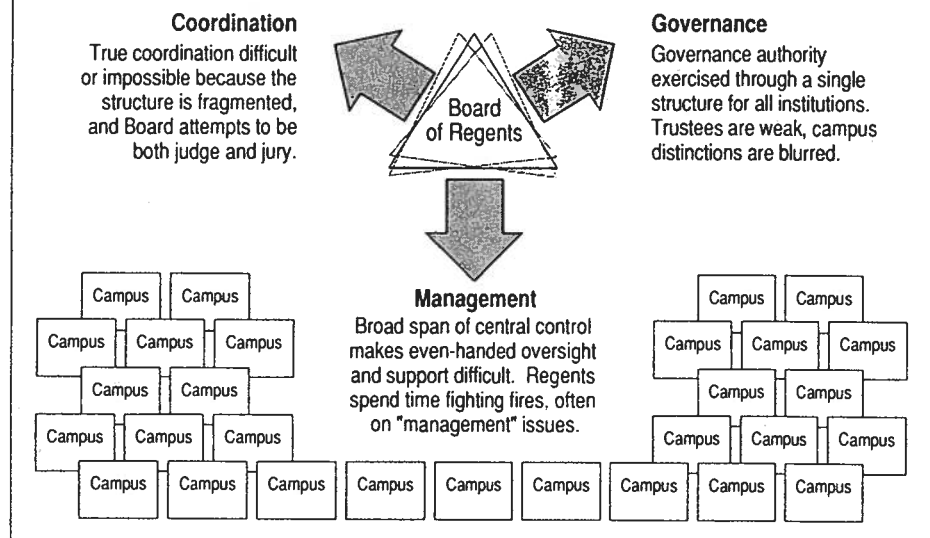
On at least one question we found general agreement: with respect to the University of Massachusetts, the current structure is seriously flawed.

The reorganization of 1980 vested governing authority for all campuses in a statewide Board of Regents. The "sector" boards for the state and community colleges which existed at the time were eliminated, and individual boards of trustees – with diminished authority – were established for each campus. The University of Massachusetts, however, was treated differently. For one reason or another – and accounts differ – reorganization retained a single board of trustees for the three-campus University of Massachusetts system. But while the University differed in form from the other institutions, its trustees were given no distinctive powers. The division of authority among the three levels – the campuses, the University "system," and the Board of Regents – was therefore left ambiguous.

The situation has not been clarified with the passage of time. The University trustees and president operate in a bureaucratic twilight, viewed by many as an unnecessary layer in the system. The Regents tend to deal directly with the University's campuses, rather than with the system office, preventing the trustees from exercising effective leadership. Further, the existence of two other university campuses outside the University of Massachusetts prevents the formation of a true university sector. By most accounts, the ambiguity of the role of the University trustees has grown, not diminished, as the reorganized system has evolved and as the Regents have exercised more of their statutory powers.

The Current Structure...

**...tends to confuse coordination, governance, and management.
As a result, the statewide board is pulled in three different directions.**



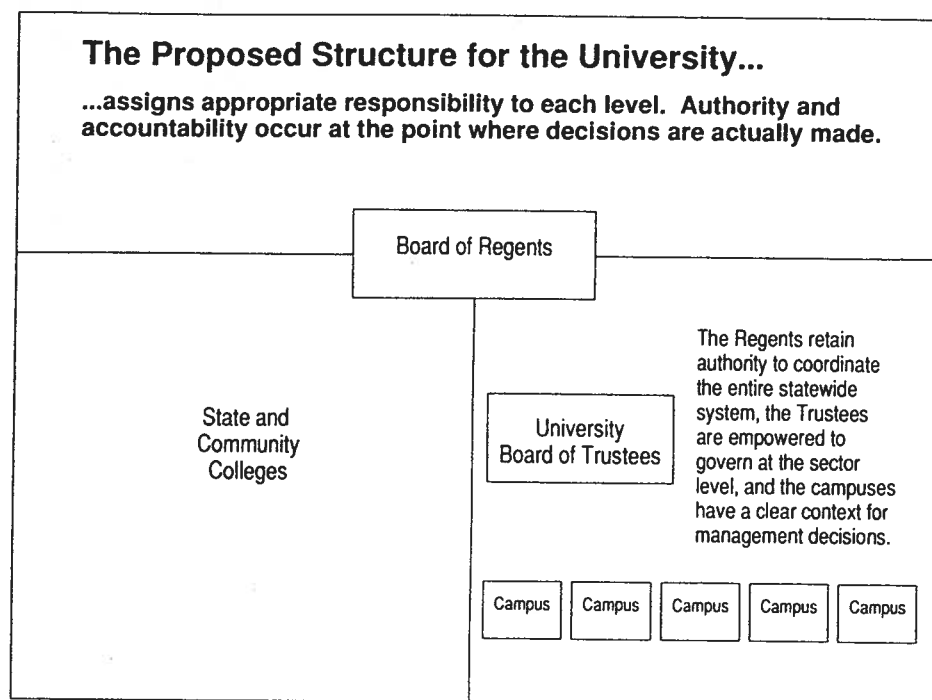
In our judgment, this structure is not adequate to the task facing Massachusetts. It fails to differentiate among the missions and aspirations of the institutions, and compels the University to compete for attention in an inappropriate forum; it mutes the University's voice, and scatters it among the campuses; and it strips the trustees – who should have fundamental responsibility for the University – of the authority to do their job. A serious effort to build a world-class public university in Massachusetts must include adjustments to the current structure that will give the University the mandate and the means to move ahead.

Levels of Decision-Making

The structure in Massachusetts places authority at the top, passing down from the Board of Regents to the institutions only through specific delegations of responsibility. This top-down orientation undermines accountability and flexibility, because it fails to differentiate the *kinds* of decisions that are made at different organizational *levels*. We believe that an effective system of governance recognizes three levels of decision-making:

First is the *campus* level, where the University's real work – teaching, learning, research, and public service – occurs. Each day demands a specific set of responses to changing circumstances, and campus leaders

Even if the campuses are organized together, the sector will not be strong unless the Trustees and the President are strong.



must have the flexibility to respond with full accountability for their actions. These local decisions can be guided – but not replaced – by policies set at other levels.

The next decision point is at the *sector* level. Universities, with their common graduate, research and service missions, form a well-defined sector. Many policy questions are best addressed within a close community of similar institutions, and accountability is strengthened when it is sharply focused at such a point close to the campuses.

Finally, responsibility for the whole system must be exercised at the *statewide* level. Decisions at the sector level must be informed by a clear statement of statewide needs,

and performance at all levels must be measured against statewide standards. Program review and approval, for example, demands a perspective broader than that of a campus or a sector.

The structure in Massachusetts does not make the essential distinction between the sector and statewide levels. The Regents are asked to be both judge and jury, speaking on behalf of the different kinds of institutions but also attempting to strike a balance among them. Important patterns of conflict and convergence are lost because independent sector voices do not reach the statewide board. In confronting directly the needs of 29 campuses the Regents are hard-pressed to provide even-handed oversight and support, and their attention is often consumed

fighting fires that spring up around the system.

With authority reaching down through several layers and spread across many different kinds of institutions it is difficult to fix the point at which decisions are actually made. The Regents indicate that they delegate much of their authority to the campuses, but the campuses maintain that delegations are ad hoc, ambiguous, and easily withdrawn. The Commission met with decision-makers from throughout the system, and was struck by the frequency with which responsibility for problems was attributed up or down the line. The Regents, because they have “governing” authority, are often held accountable for decisions – such as campus trust fund expenditures – over which they have no real control. The campuses, because they and their trustees have little budgetary or policy authority, are free to blame their problems on a distant villain. The public is left with little ability to set standards or measure progress in public higher education, precisely the opposite of what the 1980 reorganization statute intended.

Making the Structure Work

Massachusetts has a long tradition of strength at the campus level, and the reorganization of 1980 gave the structure a strong statewide perspective for the first time. The state should now build on the reforms undertaken nearly a decade ago by forming a strong university sector, and by assigning to each level the appropriate responsibility and authority.

The Commission does not agree with those who advocate rolling back the clock to some point before reorganization.

What do we mean by a "strong" university sector? First, it must encompass all the university campuses, and enable them to lend their distinctive strengths to the pursuit of their common purposes. Increasingly, important research opportunities – like Sematech and the Superconducting Supercollider – will be available only to groups of universities working together, and Massachusetts should ensure that its governance structure promotes the highest level of cooperation. The current structure provides few incentives in this regard, but a distinctive university sector would give common issues – and the opportunities which flow from them – greater prominence and sharper focus.

Moreover, we are convinced that the system of public higher education will work better if it includes a unified university sector. Certain economies of scale – coordinating library acquisitions, for example, or pooling supercomputer needs – are more likely when the structure encourages campuses to work together. While final authority for program review and approval must reside with the Regents, questions of institutional focus are best addressed at the sector level. And in terms of the budget process, a request is most likely to receive serious consideration if it has the support of five campuses and the advocacy of a committed sector board.

Even if the campuses are organized together, however, the sector will not be strong unless the Trustees and the president are strong. This will require a careful division of responsibility between the Regents

and the Trustees. The Regents should have full authority to coordinate the system and set statewide policy, unencumbered by the different and at times conflicting obligations of governance at the university level. The Trustees should have authority for the sector, including the capacity to develop and defend a sector budget. Advisory boards, appointed at the campus level, should be created to help address local questions.

In recognition of their significant responsibilities as stewards of the university system, great care should be exercised to appoint individuals of the highest calibre and broadest interests to the Board of Trustees and to the campus advisory boards. Establishment of a formal nominating and screening process for trustees, for example, could help depoliticize the governance of higher education.

The Commission understands that these recommendations may have implications for the other parts of the system of public higher education. Although we took a broad view in our examination of the system, the governance of the state and community colleges was outside our charge, and we therefore do not make specific recommendations in that regard. We know of nothing, however, that would argue to limit the application of the sector approach to universities.

These recommendations also reflect the understanding that the reorganization of 1980 achieved an important realignment of power in the public system. Before 1980 coordination was weak, and governance was insufficiently responsive to the needs of the state. Reorganization

signalled that Massachusetts was unwilling to continue on that course, and the Commission believes that those signals are still being sent.

The Commission therefore does not agree with those who advocate rolling back the clock to some point before reorganization. Just as we are convinced that the current structure cannot build a world-class public university in Massachusetts, we do not believe that one would have emerged in the uncontrolled environment which existed before reorganization. Massachusetts rejected weak coordination in 1980, but replaced it with a governance structure which, in our view, cannot succeed. In 1989 this Commission recommends *strong* coordination, and a governance structure which represents our best hope of success.

The Appropriation and Allocation of State Funds

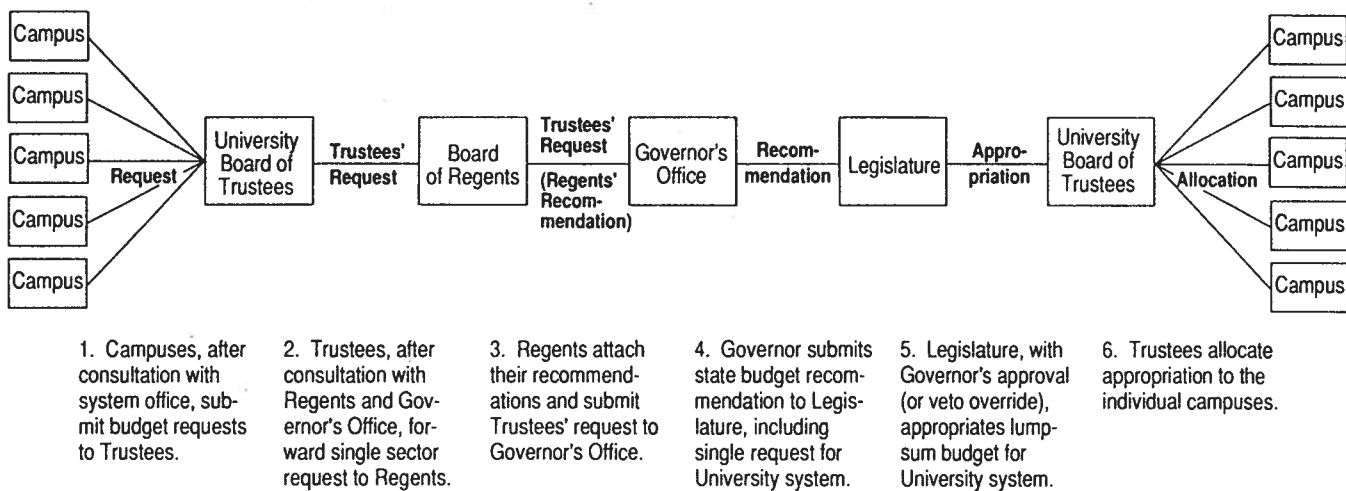
These governance recommendations address the broad issues of policy development and implementation, and therefore involve many different kinds of decisions. Some of them occur in the context of the state budget process, and formation of a strong university sector will therefore involve specific changes in that process.

The commitment to build a world-class public university has implications for elementary and secondary education, economic development, and other areas of public policy outside higher education. Budgetary decisions related to that commitment should be explicit and public, so that the costs and

Responsibility for making the case should rest squarely with the University.

The Proposed Budget Process...

...would put responsibility in the hands of the Trustees at two critical points: framing the budget request and allocating the state appropriation to the campuses.



benefits to the state can be understood clearly. The Trustees should be in a position to make their case directly to the legislature, where the broadest questions of public priority are resolved. The legislature should be free to respond directly, in the context of their overall budget priorities, to the plans brought forward by the Trustees. Responsibility for making the case, regardless of its success, should rest squarely with the University.

Authority at the University sector level must therefore include the capacity to develop, describe and defend a unified budget request for the sector. At the same time, authority at the statewide level requires the capacity to evaluate and comment on, in a formal and explicit fashion, the relationship of the various sector

requests to one another and to the broader needs of the system of public higher education.

At each point in the process only a single request can go forward. The Governor must also, however, receive from the Regents an assessment of the University's request and their recommendations for action. As the University prepares its request, it must anticipate that the Regents will be sitting close at hand as the budget is defended at each stage of the process. The University sector request should therefore be submitted by the Trustees to the Regents, with the Regents attaching their recommendations and submitting the Trustees' request to the Governor's Office. For the process to be effective, the participants must go beyond the dictates of the formal structure and seek to avoid

unnecessary conflict. The Trustees, therefore, should consult closely with the Regents *before* submitting a University budget so as to increase the chances that the request can attract wide support. Similarly, both the Regents and the Trustees should consult with the Governor's staff well in advance of the actual budget submission.

At the other end of the process the Trustees would be responsible for allocating to the five University campuses a single line-item appropriation for the sector. Because the budget request and allocation cycle continues throughout the year, consultation with the Regents and the state should continue at all points in the process.

The Structure of a Great University

Recommendations

10

1. The state's five public university campuses – the University of Massachusetts campuses at Amherst, Boston and Worcester, the University of Lowell, and Southeastern Massachusetts University – should be organized together as a university sector under a reconfigured and strengthened Board of Trustees for the University of Massachusetts.
 - a. The Board should be expanded to permit participation from the three existing affected boards, including student and alumni representation at least equal to current levels.
 - b. Independent advisory boards, appointed by the campus leadership, should be established.
2. The reconfigured University of Massachusetts Board of Trustees should be vested with all governance authority for the University, including responsibility for program review and approval, financial management, and admissions and other policies at the university level, consistent with statute and policies of the Board of Regents. The Trustees should select and hold accountable a president through whom they can exercise leadership of the University system.
3. The Board of Regents of Higher Education should retain all coordinating authority for the system of public higher education, including authority for statewide minimum admissions standards, tuition policy, program approval and review, and establishment of performance standards. In addition, the Regents should assume new responsibilities in the area of formula-based budgeting for the public institutions (see Recommendations on Financial Strength).
4. The University of Massachusetts Board of Trustees should submit a single annual state budget request to the Board of Regents, who will attach their recommendations and submit the Trustees' request to the Executive Office of Administration and Finance. The annual state operating budget should include a lump-sum appropriation to the University's Board of Trustees, independent of any appropriations made to the Regents or other bodies for the activities of the other public institutions of higher education.

Financial Strength

We have focused on steps that can be taken now to improve the financial position of the University.

11

Over the long term it is likely that building a world-class University of Massachusetts will require new investment from both state and non-state sources of funds. It is important to keep in mind, however, that the difference between the state's current expenditures for its public university and those needed to develop the university's full potential may be modest. Universities of any stripe share many of the same basic needs for infrastructure and personnel. Where they differ is in the effectiveness with which resources are used, and in the additional revenues – often from non-state sources – which support distinctive quality.

The Commission recognizes the difficulty of the state's current fiscal position. Moreover, we believe that progress can be made even if new funds are not forthcoming in the short term. Building a world-class university will require commitment over a period of many years, through good times and bad. We have therefore focused on steps that can be taken now to improve the financial position of the University and help it prepare for its challenging task.

Securing Financial Stability: Formula Funding

When a student is admitted, or a faculty member enters the tenure track, or a grant application is filed, the university is making a long-term commitment. What it does cannot quickly be undone, and it needs to be sure that the basic support to meet its commitments will be available when needed.

Public universities receive the bulk of their operating budgets through an often unpredictable political process, and it is difficult for them to know from year to year or even from month to month whether they will be able to meet their commitments. The resulting inefficiencies and delays are costly to both the university and the state. The unpredictability of the process also tends to encourage unnecessary turmoil. Both the campuses and state officials tend to be swept up in the same open-ended debate each year, even though base budgets remain, on average, fairly stable.

From the university perspective, some way of introducing stability to the funding process must be found. From the state perspective, some way of limiting the turmoil and competition could be helpful.

Many states have found that a device generally called "formula funding" can lend stability to university finances, preserve the flexibility of the state, and bring a measure of order to the budget debate. The idea is straightforward: the state and the university agree that some part of the university's operating budget will be determined by "formula," a set of specific relationships between functions and funding levels. The cost of teaching a student, for example, can be part of a formula. The state and the university would agree on the cost – based on historic patterns, comparative data, or other factors – and the university would then receive funding equal to the per-student cost times the number of students taught.

Formulas can be simple or complex. In the example above, different costs might be assigned to different levels of students (e.g., undergraduate vs. graduate) or different kinds of programs (e.g., engineering vs. nursing). Texas, for example, recognizes four levels of students and 19 program areas in its formula, while California makes no distinctions among programs and funds all students at the same rate. Year-to-year changes in the per-student cost might be tied to some factor like the Consumer Price Index.

Formulas can also be useful in determining funding for activities like building maintenance, for which standardized cost calculations are widely available. Other activities are less suited to a formula approach, and most states have chosen to utilize a formula in determining only a portion of the total state appropriation.

The Commission believes that the introduction of formula funding would improve the efficiency of the University and overcome some of the limitations of the current budget process. We cannot suggest precisely what formula should be employed, but we can state that simple formulas, laying out broad funding parameters, tend to be easier to manage and more useful than complex models at a fine level of detail. Whatever its focus, the formula should preserve the flexibility of the campus in managing its budget allocation.

It is neither reasonable nor appropriate to expect that the taxpayers will carry the full burden of developing the University's potential.

The formula only serves as a minimum funding base, and cannot address all budgetary questions. It should not alter the University's appropriation unless a specific decision to that effect is made.

Expanding the Revenue Base

The state's current fiscal constraints underscore a point which would be true even in the best of times: building a world-class university will require substantial expansion of non-state revenues. It is neither reasonable nor appropriate to expect that the taxpayers will carry the full burden of developing the University's potential.

And the best universities have obligations that go beyond basic operating costs. The most important of these is the commitment to quality. In the years ahead the University of Massachusetts must be prepared to do more than most other universities. It must attract the most able students, faculty, and staff; it must provide state-of-the-art equipment and facilities for its students and researchers; and it must be in a position to sustain important but expensive academic programs which other universities cannot.

The "margin of excellence" at a public university – the difference between basic operations and distinctive quality – must come from sources which supplement state funding. These include sponsored research, gifts from individuals and industry, and appropriate commercial and auxiliary enterprises. We note that the state's public university campuses are only beginning to develop these

sources of revenue (the University of Massachusetts Medical Center is the leader in this regard). While sponsored research is growing throughout the University, it is still quite limited compared with the nation's leading universities. Fundraising from individuals and industry is also far from its full potential. Only the Amherst campus has built a significant fundraising operation, but even that seems modest compared with other institutions of similar size and stature.

Many of the University's activities – especially those concerned with its public service mission – occur outside the campus. Support for service programs must be generated in local communities, often through cooperative ventures with industry, government, and granting agencies. The University has achieved considerable success in this area, for example, through its Institute for Governmental Services, which generates millions of dollars outside the University's state operating budget to bring expertise and assistance to state agencies and local communities. As the University continues to develop, that kind of cooperative activity will be increasingly important.

Tuition Retention

Building a world-class public university in Massachusetts will require the capacity to respond quickly to changing circumstances, and to seize opportunities which occur outside the timeline of the budget process. For many public universities, tuition revenue is an important source of such flexible

funding. Unlike institutions in many other states, however, the public campuses in Massachusetts turn tuition revenue over to the state's general fund. Tuition has not been used in Massachusetts as a means of directly affecting campus operating budgets.

Last year the legislature agreed to a pilot program under which the University of Massachusetts could retain for its own use an increase in tuition authorized by the Board of Regents, with the idea that new and more flexible funding would be made available. It is not clear, however, that the program had its intended effect. The state, faced with a deepening fiscal crisis, cut its appropriation to higher education with the knowledge that the University could compensate for the lost revenue through a tuition increase. According to some observers, the introduction of tuition retention resulted in a net loss for the University.

The experience raises several important issues. First, one of the benefits of tuition retention is that it provides a supplement to the state budget. If, however, it is seen as a *replacement* for state operating funds, then the University's capacity to maintain its level of state funding may be undermined. Second, increasing reliance on retained tuition may put irresistible upward pressure on student costs. Student aid programs currently fall short of meeting calculated student need, and a structural change which places greater emphasis on tuition revenues can have a significant impact on student access. Assessing the trade-offs between flexibility, access, and a shift in the

Financial Strength

Recommendations

balance of funding sources is complicated, especially in the current fiscal environment. Tuition retention should be adopted, provided that it does not negatively affect student access or the University's ability to secure state operating funds.

Capital Programs

Much of the University's future investment will involve the maintenance, renovation, and construction of laboratory and other facilities necessary to keep pace with rapid technological change and the growth of knowledge. We encountered acute needs for additional space, yet we also found frustration with the process by which public buildings are constructed in Massachusetts. We were told of long delays in the planning and execution of building projects, in many cases resulting in substantially higher costs to the Commonwealth.

The Commission recognizes that the current procedures were put in place a few years ago in response to widespread concern about the way in which public funds were being used for construction of public buildings, including those on the public campuses. We have no specific changes to suggest but we strongly believe that means must be found to reduce the delays – and the associated costs – which flow from the current system. It is an issue which should unite the entire system of public higher education, and the University should work closely with the Regents to find a satisfactory resolution.

1. **State government, the Board of Regents, and the University of Massachusetts Board of Trustees should begin discussions concerning the adoption of formula funding for portions of the University's state operating budget.**
 - a. **Any formula should be authorized by the state and developed by the Board of Regents in consultation with the University's Board of Trustees.**
 - b. **In general, the formula should emphasize broad activity/funding relationships, rather than attempt a highly focused and complex model of activity and funding.**
2. **Non-state sources of revenue should be increased, especially in areas such as fundraising which seem to have untapped potential.**
3. **Cooperative programs which permit the University to draw on the resources of government and industry – especially in its service programs – should be encouraged, and should involve all the campuses.**
4. **Tuition retention should be adopted, provided that it does not negatively affect student access or the University's ability to secure state operating funds.**
5. **The University should work closely with the Board of Regents to find ways of reducing the delays encountered in the renovation and construction of buildings.**

The Public University in the Future

14

The changes we are recommending – in commitment, structure, and financing – are not ends in themselves. They are the first steps in a long process that will, we believe, give the University the means to chart a course and persuade the people of the state that the destination – building a “world-class” public university – justifies the journey. It is that destination and what it will mean in the years ahead that should command our attention.

We stated at the outset three challenges which demand that the state develop its public university: maintaining economic leadership, offering opportunity to its people, and strengthening its system of public education. The University’s success will be measured in terms of its ability to meet these challenges.

In many respects these are simply three different ways of talking about the same thing. Economic growth is imperiled if the fastest-growing segments of the population are locked out of the educational system. Opportunity must include the chance to participate at the leading edge of the economy, not just at the low end of the service sector. Both growth and opportunity rely on higher education, but higher education cannot succeed if the public schools do not adequately prepare our students. It is at the intersection of these challenges that the University of Massachusetts must focus much of its future effort.

Serving the Next Generation

Millions of American families found their first opportunity to participate in higher education

because a public university opened its doors. But that tradition is imperiled. The American population is changing, and the educational system seems unable to keep pace. The fastest-growing groups in the American population – Blacks, Hispanics, and Asians, including many recent immigrants – are among those with the lowest participation rates in

The American population is changing, and the educational system seems unable to keep pace.

higher education. More alarming, these rates are declining. In 1985, only 26 percent of both Black and Hispanic high school graduates enrolled in college, compared with 34 percent and 36 percent, respectively, in 1976.

In Massachusetts, Black and Hispanic high school students are

THE SUM OF THE PARTS

There is a tendency to think of “great” public universities in terms of a single campus: Berkeley, or Ann Arbor, or Chapel Hill, for example. But great campuses rarely spring up in isolation, and they cannot long endure if their success is seen to come at the expense of others. The state’s needs cannot be met by a single model of a university, and the public support needed to sustain a commitment to excellence cannot be generated from a single location. In the Commission’s view, a world-class university means a world-class university *system*.

The five public universities of Massachusetts share the unique university mission of professional and advanced graduate education, and pure and applied research. These activities, in turn, foster a distinctive undergraduate experience. But each institution interprets this common mission in accordance with different historical, regional, and institutional goals.

The state’s public universities are well distributed, in terms of both geography and focus. They are located in all parts of Massachusetts, some in or near the state’s fastest-growing regions. Individually, each can make a distinctive contribution to a university system. Together, drawing on each other’s strengths, they can serve the state far better than could five campuses acting alone. The whole can be greater than the sum of its parts.

UMass/Amherst

The Commonwealth’s oldest and most developed public university, UMass/Amherst is also the largest public university in the region. Recent efforts to strengthen graduate and research programs have had impressive results: the research capacity at Amherst is greater than that of almost any other institution in New England. The campus is on the cutting edge in such fields as polymer science, computer science, molecular biology, and others. It offers a wide array of graduate and professional programs, many of which could not be duplicated in breadth or depth at the other campuses, and this comprehensiveness gives it a special and important role to play. UMass/Amherst is known increasingly for the excellence of its teaching and the academic achievements of its students.

UMass/Boston

The creation of UMass/Boston in 1964 extended the land grant tradition to urban eastern Massachusetts. The only public professional and graduate institution in the metropolitan Boston area, UMass/Boston’s progress is especially noteworthy given the success it has achieved in a relatively short time. It has distinguished itself by integrating education, research, and service within its urban mission and emphasizing activities tied to the unique needs of the Boston area, such as urban harbor studies, clinical psychology, gerontology, public affairs, and

In this matter the public university has little choice. If it can not find ways to serve those in greatest need of its gifts, then it offers too little.

only half as likely to graduate as their white counterparts, and those who do earn a high school diploma are two-thirds as likely to enter a college or university as white graduates. Moreover, the population of Massachusetts is changing in ways that promise to widen the gap between those who enjoy opportunity and those who have few real choices. In

1985, minority students accounted for 73 percent of enrollments in the Boston public schools, 57 percent in Lawrence, and 55 percent in Springfield. The cities are also attracting large numbers of immigrants – including many who do not speak English – further taxing the urban schools. Because the state's minority populations are concentrated in

urban communities with increasingly troubled school systems, there seems little chance that the next generation will increase its participation in higher education.

In response, universities, including the University of Massachusetts, have tried mightily to increase opportunities for minorities and other underserved populations, with some success. But opportunity has no force unless it includes the opportunity to succeed: to complete a course of study, to earn a degree, and to put that degree to productive use. No purpose is served in admitting students who, for want of preparation, or encouragement, or assistance of one kind or another, are likely to fail.

Yet that is what we do far too often. Both the Amherst and Boston campuses of the University of Massachusetts estimate that their graduation rates for Black and Hispanic students are half those of whites. The reasons given for the problem are many: poor and minority students are often unprepared for university-level study; support programs are expensive, and stable funding is hard to secure; large universities are by nature impersonal, and their traditions are often alienating to minority students.

There is undoubtedly some truth to each of these points, and others. But in this matter the public university has little choice. If it cannot find ways to serve those who are in greatest need of its gifts, then it offers too little. If building a "great" public university results in leaving behind those who are less well-prepared, or

programs with the urban schools. Its undergraduate student body is diverse and older than the norm, and includes many students from groups that have not traditionally attended college. Providing these opportunities is a central part of the mission of UMass/Boston.

UMass/Worcester

In many respects the Medical Center is the University's greatest contemporary success story, having earned a national reputation in less than 20 years. While honoring a commitment to primary care, it has produced a hospital that serves as central Massachusetts' tertiary care hub and a research group that ranks among the best in the United States. The newer graduate schools of nursing and biomedical sciences are also well on their way. The University's teaching hospital has done well during the last half-decade, serving a growing population while many other hospitals have faced financial crisis. However, a serious space shortage is impeding ongoing and developing research and service programs. The Medical Center is an integral part of the university system and a model in many ways for its sister campuses.

University of Lowell

Located in a city that is enjoying an economic renaissance, and surrounded by much of the state's high technology industry, the University of Lowell has taken

advantage of new opportunities to address important regional and statewide needs. As an urban campus, it shares – but with its own focus – UMass/Boston's directed and applied orientation for research and graduate study. ULowell has demonstrated excellence in areas of vital importance to the state: engineering, technology, workplace health and safety, and computer-integrated manufacturing, for example. With its emphasis on engineering, science, and technology, the University of Lowell can be an important part of the expanded University of Massachusetts system.

Southeastern Massachusetts University

SMU has an important mission within the system. As the smallest of the five campuses, with attractive residential facilities and a predominantly undergraduate student body, many students may find its collegiate atmosphere more appealing than the anonymity of a large university. Graduate programs, still in early phases of development, are carefully focused on areas of importance to the region, such as marine sciences. While retaining its emphasis on undergraduate education for citizens of its region, SMU can also profit by joining the other four campuses in cooperative programs and activities for which it does not have resources of its own. The fast-growing southeastern Massachusetts regions stands to profit from the continuing development of this young institution.

The prize is worth the struggle. If Massachusetts can unleash the potential of its public university, then it will truly be prepared to carry its leadership into the next century.

from less privileged backgrounds, then the goal is probably not worth achieving. We are convinced that by working with the public schools and the state and community colleges the University can offer access to the state's citizens while increasing the quality of its programs.

John Hoy, President of the New England Board of Higher Education, framed the question this way in a recent landmark study of educational opportunities in the region: "Of late, New England, in the midst of plenty has found it all too easy to ignore those it has left behind without education or skills. Will the region with the nation's smallest minority population respond to the challenge of attaining pluralism and equal access to education as a moral imperative and an economic necessity?"

Meeting this imperative does not mean that the University must sacrifice high standards of quality. Quite the opposite is true: opportunity is only meaningful in the context of quality. It does mean, however, that meeting the needs of the underprepared must become a much more central part of the University's mission. The Commission heard several times that successful programs to identify, prepare, recruit, and retain promising minority students have struggled for years to find stable funding and administrative support. We cannot pass judgment on the worth of any particular program, but we note that programs of this kind far too often operate on the margins of the institution. They cannot continue in that way. Meeting the needs of underserved students is not a marginal responsibility for the

University: it is at the heart of the University's contemporary mission.

The University can also help by contributing to the effectiveness of the state's public schools, especially the urban schools. The systemwide City Lights Program, the Boston campus's Urban Scholars Program, and the Amherst campus's Challenge Program are all promising examples, but much more can be done. The University is the state's leading supplier of public school teachers. It must commit itself to giving them the incentives and the skills to improve this troubled environment.

Finally, the University must reassess its conception of quality, so that student success assumes a more central position. "Quality, as traditionally defined," says one researcher who has studied retention in higher education, "relies upon admission standards to identify students whose preparation, race or ethnicity, and socio-economic background make it likely they can survive in institutions where the social environment is largely expected to take care of itself and where student learning is secondary to faculty research or administrative convenience. We require a different definition of quality ... [that] must include an institutional commitment to assess students' strengths and weaknesses and ... emphasize strategies for insuring that all who enter have a fair opportunity to meet high standards of achievement."

If the University is to fulfill its mission in the years ahead, it must put greater emphasis on what students take with them *from* the campus than on what they bring *to* it. In

judging our success, we must take as one of the measures the development of human talent, and the value added by the institution.

A FINAL CHALLENGE

It does not require great imagination to see the benefits of building a world-class public university in Massachusetts, but it is more difficult to see how the state will reach that goal. Because our charge was to look to the future, we tried to see beyond the attitudes and aspirations which currently define the University of Massachusetts. We were reminded time and again during the course of our work, however, that the realities of the present can very easily crowd out the possibilities of the future. In our view, that is the principal obstacle facing the University as it seeks to reach its full potential.

The problem is not unique to Massachusetts. Many states have sought to build the strength of their public universities, and most have had compelling reasons to do so far longer than Massachusetts, with its strong tradition of private higher education. But only a handful of states have succeeded. We believe that many others faltered because they found it impossible to sustain the necessary effort over a period of several decades, and because they were diverted from their goal by short-term crises of one kind or another.

The University of Massachusetts faces such a threat today. We were counseled by many of those with whom we spoke to set less ambitious goals, or to wait for "better" times.

The Public University in the Future

Recommendations

17

We are keenly aware that the state's current fiscal troubles dominate decision-making to such an extent that talk of growth and development for the public university seems to many irrelevant if not irresponsible. But we believe that precisely the opposite is true. The state's fiscal problems have largely been triggered by economic and social change. "Better" times will come – and stay – only if Massachusetts can master those changes. We believe that the effort begins with a stronger public university, and that the longer Massachusetts delays, the more likely it is that its troubles will increase.

The challenge to the University and to those who believe in its value is to build a long-term strategy which can find opportunities for advancement even in hard times. The recommendations in this report reflect the beginnings of such a strategy, a series of immediate and achievable goals which will leave the University better prepared to continue its progress. But these recommendations are only meaningful in their larger context, and it will be up to the Trustees, the Regents, and others whose stewardship is important to keep the state's attention focused on the long-term goal.

In our view, the prize is worth the struggle. If Massachusetts can unleash the potential of its public university, and add new capacity to the state's already remarkable educational enterprise, then it will truly be prepared to carry its leadership into the next century and beyond. Few states face the future from so strong a position, and none have such potential for greater strength.

1. The University must adopt, in policy and action, a different orientation toward meeting the needs of underserved populations. Existing programs with the demonstrated capacity to identify, prepare, recruit, retain, and graduate qualified minority and other underserved students should be expanded, and new efforts undertaken. These programs should be organized and funded in a manner which reflects their centrality to the University's mission.
2. The University should assume responsibility for increasing the pool of "qualified" applicants in the state – especially minority applicants – by investing more of its energies in the ongoing effort to strengthen the public schools. Greater emphasis should be given to cooperative programs with the state's urban schools.
3. The University should broaden its definition of "quality" to include a more central focus on student success, and should join the growing national movement toward value-added assessment.

Minority Report



We strongly support the Report of the Commission on the Future of the University, particularly in its endorsement of the need for a world-class public university and for the strongest possible commitment on the part of Massachusetts and all its citizens to make public education, including higher education, their highest priority. We are of the opinion, however, that to engage in divisive debate at this time about the University governance structure as proposed by the majority would be detrimental to the Commonwealth's ability to achieve its goals for higher education. Such damaging debate would be inevitable because of the wide sweeping implications of the majority recommendations on structure.

While the majority report deals only with establishing a university sector, it seems clear that if university governance moves in this direction, both the state colleges and the community colleges will follow suit in seeking their own separate sectors. The majority of the Commission recognizes the inevitability of the establishment of these two additional sectors when it writes:

"The Commission understands that these recommendations may have implications for other parts of the system of higher education. Although we took a broad view in our examination of the system, the governance of the state and community colleges was outside our charge and we therefore do not make specific recommendations in that regard. We know of nothing, however, that would argue to limit the application of the sector approach to universities."

The creation of these additional sectors implies the creation of two more strong boards of Trustees and twenty-four campus Advisory Boards, one for each of the nine state and fifteen community colleges. Such reorganization would obviously carry significant staffing and administrative costs. Assuming that the Commission's recommendations for the University sector Board of Trustees are implemented and that body is vested with full authority for governance, the state and community college Boards will naturally seek to be vested with similar governance powers.

In our opinion, Massachusetts should retain its existing system of governance for public education instead of diffusing its energies and being diverted from its real goals by changing the governance structure once again. Challenges relating to the span of control, simplification and clarification of reporting procedures, and delegation of authority can be worked out within the existing system. Governance structure is but a means to an end. We believe that leadership is the most decisive factor in achieving the goals we have set for ourselves for excellence in higher education, and that leadership is in place. We are confident that given renewed commitment to public higher education, Massachusetts can work within its present system of governance to attain the excellence it seeks.

For the foregoing reasons we do not endorse the majority recommendations on structure and governance.

Barbara W. Newell
Paul S. Doherty

- 2 Workforce and job creation estimates were taken from *Blueprint 2000*, a report issued by Massachusetts Lt. Gov. Evelyn Murphy (January, 1989).

Data on enrollment of Massachusetts residents at Harvard and MIT were provided by the Registrars at each institution, and apply to the classes entering in the fall semester of 1988.

Data on enrollment of Massachusetts residents for public universities were taken from *Massachusetts Public Colleges and Universities: Campus Data Report*, issued by the Massachusetts Board of Regents of Higher Education in December, 1987 (1986 data).

Information on demographic shifts in Massachusetts was drawn from *Equity and Pluralism: Full Participation of Blacks and Hispanics in New England Higher Education*, issued by the Task Force on Black and Hispanic Student Enrollment and Retention in New England, New England Board of Higher Education, in January, 1989.

Information on high school dropout rates was provided by the Massachusetts Department of Education.

- 3 Frank Newman was quoted from his book, *Choosing Quality: Reducing Conflict Between the State and the University*. (Denver: Education Commission of the States, 1987), p. 88.
- A. Bartlett Giamatti was quoted from "America's Colleges and Universities Have Failed to Assert Their Ideals and Purposes Persuasively." Opinion. *The Chronicle of Higher Education*, November 9, 1988, page B1.
- 11 Information on formula funding was drawn in part from Elman, Sandra E. *Management Efficiency and State Control: Budget and Fiscal Flexibility at the University of Maryland and Its Peers*. (Adelphi, MD: University of Maryland, 1983), p. 22.
- 14 Information on college participation rates was taken from *Equity and Pluralism*, p. 6 (op. cit.).
- 15 Information on minority populations in the Massachusetts public schools was taken from *The Changing Face of the Massachusetts Classroom*, a report issued by University of Massachusetts President David C. Knapp (1988).
- 16 John Hoy's quote is from his introduction to *Equity and Pluralism* (op. cit.).

The quotation on the definition of quality is Richard C. Richardson, Jr.'s, taken from "If Minority Students Are to Succeed in Higher Education, Every Rung of the Educational Ladder Must Be in Place," *The Chronicle of Higher Education*, January 11, 1989, p. A48.

Appendices

20

University of Massachusetts • Amherst • Boston • Worcester

**Board of Trustees
250 Stuart Street
Boston, Massachusetts 02116**

March 7, 1988

Dear Commissioner:

It is my pleasure to confirm your appointment as a member of the Commission on the Future of the University. We very much appreciate your willingness to take time out of a busy schedule to participate in a project of great importance to both the University and the Commonwealth of Massachusetts.

As you know, the Commission was established by the Board of Trustees in observance of the University's 125th Anniversary. Its charge is "to examine and make recommendations on the future role of the University in the Commonwealth, its governance and financing, and to report to the Board no later than December 31, 1988."

Although the charge is broad, the members of the Commission bring to the project a breadth of experience and perspective which touches on all the activities and aspirations of a modern university. In compliance with the charge of the Board of Trustees, the members were appointed with the advice of President Knapp and in consultation with Chancellor Jenifer of the Board of Regents of Higher Education. The nineteen members of the Commission include distinguished national educators and leaders of the Commonwealth. A list of members and brief identifying descriptions is attached for your information.

David Saxon, the chairman of the Commission, and Mortimer Appley, the Commission's Executive Director, will be contacting you in the very near future to make arrangements for the Commission's initial work. I join them in welcoming you to the Commission, and on behalf of the Board of Trustees I thank you for agreeing to play so important a role in the development of the University.

Sincerely,

Andrew C. Knowles III
Chairman

**The Commonwealth of Massachusetts
Executive Department
State House • Boston 02133**

**Michael S. Dukakis
Governor**

April 20, 1988

Dr. David Saxon, Chairman
Commission on the Future of the University
University of Massachusetts
250 Stuart Street
Boston, MA 02116

Dear David:

I am very pleased that you have agreed to chair the Commission on the Future of the University and that so distinguished a group of educators and political and community leaders have joined you in this important undertaking.

It has been almost two decades since the University of Massachusetts "system" was created to oversee the campuses in Amherst, Boston and Worcester. It is thus timely for the Trustees to have assembled an independent group to examine the functioning of the system and to make recommendations on the University's governance, financing, and future role in the Commonwealth.

The timeliness of your Commission's review is further emphasized by developments within the past decade, including the establishment of the Board of Regents, the growth of the University's Boston and Worcester centers, and parallel developments within other elements of higher education.

Although you have received your charge from the Trustees of the University and will be reporting to them, all of us in the Commonwealth share an interest in the outcome of your work. To this end I hope that you will address the issues made relevant to the future of the University's role in the Commonwealth by the developments in higher education I have noted above.

Please accept my best wishes for the success of your efforts.

Cordially,

Michael S. Dukakis

Commission Activities

Acknowledgments

Commission Activities

Over the course of its work, the Commission and its staff conducted site visits to each of the five public university campuses in Massachusetts; met with trustees and administrators from each institution; and received comments from a number of individuals currently or formerly associated with the University of Massachusetts and the system of public higher education. Commission members also met with members of the Massachusetts legislature, members of the Board of Regents of Higher Education, Chancellor Franklyn Jenifer, and other Regents' staff.

The Commission staff conducted research into organizational, financial, and other issues affecting public higher education nationally and among the states, and received information on structure and governance from a variety of sources, including commissions, study groups, and legislative bodies. The staff also conducted a selective review of the relevant literature.

Acknowledgments

The Commission gratefully acknowledges the assistance and cooperation of President David C. Knapp and chancellors Joseph Duffey, Leonard Laster, and Sherry Penney of the University of Massachusetts; President William Hogan of the University of Lowell; President John Brazil of Southeastern Massachusetts University; and the trustees, faculty, staff and students of each institution.

We also express our appreciation to Robert Gaudet, J. Lynn Griesemer, Kenneth R. Moore, William B. Parent, Ken Walker, and Jean Warren.

Designed by David Coburn.